



The New Zealand Fund for Global Partnerships  
in Livestock Emissions Research

# Rules and Guidelines for Applicants

Application Stage 1:  
Expressions of Interest

August 2013

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# 1. The Fund

## 1.1 Overview

The New Zealand Fund for Global Partnerships in Livestock Emissions Research (the Fund) is a contestable international research fund set up by New Zealand in support of the objectives of the Global Research Alliance on Agricultural Greenhouse Gases,<sup>1</sup> in particular its Livestock Research Group.

It is aimed at accelerating global research in mitigating greenhouse gas emissions from pastoral livestock farming by seeking solutions to three grand research challenges (see Section 1.2 following). The portfolio of projects that the Fund supports seeks to balance innovative science with the achievement of cost-effective, practical and sustainable solutions for pastoral livestock farmers.

The Fund has been operating since 2011 and is administered by the Ministry for Primary Industries on behalf of the New Zealand Government. There have been two previous funding rounds. The first opened in September 2011 and allocated just over \$6.6 million to four successful projects (ranging in value from \$1-2.5 million). The second funding round opened in June 2012 and allocated just under \$2.5 million to three successful projects (ranging in value from \$100,000-\$1.2 million).

This third funding round will be the final round of the Fund. It will operate in a similar way to the previous two rounds, although the timeframes for the application process have been extended.

### Key features of the funding round

- There is a maximum of \$10 million available for the third funding round with successful projects expected to be in the range of \$1–4 million and up to four years in duration. Projects from Round 3 are expected to start from March 2015 and must end by 30 June 2019.
- It is a two-stage application process beginning with a short expression of interest (EOI). Successful EOIs are then invited to submit full proposals.
- Successful proposals must significantly strengthen current research avenues and/or develop novel approaches that show major promise for bringing practical, farm-level solutions closer to implementation. They should have the potential to result in breakthrough advances that go beyond business as usual.
- Bids can be led by a New Zealand institute or an institution in an Alliance member country (see [www.globalresearchalliance.org](http://www.globalresearchalliance.org) for the full list of Alliance Members). If the latter, they must include the significant involvement of a New Zealand science partner. Where more than 10 percent of the total funding requested is to be allocated to international participants, a minimum of dollar-for-dollar matching of co-funding from the international participants is required (refer to Part 3 of these guidelines for minimum requirements on New Zealand participation and co-funding). Where relevant and possible, proposals supported by the Fund should align with other national and international strategies, funds, and private sector initiatives.
- The research supported by the Fund should be conducted in a manner that ensures the widest possible benefit, both to New Zealand and to the Global Research Alliance. Therefore, unless there are strong reasons to protect Intellectual Property (IP), it should be made public and freely available. For more information on the Fund's approach to IP, please refer to Appendix 1.

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<sup>1</sup> [www.globalresearchalliance.org](http://www.globalresearchalliance.org)

## 1.2 The Grand Research Challenges

The Fund seeks proposals in response to one or more of three<sup>2</sup> grand research challenges, as follows:

### Challenge One: Manipulating rumen function

#### The Challenge:

Research that leads to the development of practical and safe ways to manipulate rumen microbial communities and/or ruminant physiology in grazing ruminants such that methane per unit of feed intake is sustainably reduced, animal health and nutrition is maintained and animal productivity maintained or increased.

*Notes:* This challenge is targeted at the processes leading to the formation of methane in the rumen. It can accommodate a wide range of possible approaches (e.g. inhibition of methanogens, alternative hydrogen sinks and host animal effects) and does not specify or favour any particular approach. Successful proposals can span the spectrum from basic to applied research but all proposals need to demonstrate a holistic context for the work and clearly show how it will advance the development of applied solutions.

### Challenge Two: Reducing nitrous oxide emissions from soils in predominantly grazing livestock systems

#### The Challenge:

Research that will further develop and extend practical and cost-effective methods of manipulating nitrification and de-nitrification processes in soils to consistently reduce nitrous oxide emissions and nitrogen losses to the environment from soils under grazing livestock and within a broad range of geographic and climatic conditions.

*Notes:* This challenge is aimed at the further development of known technologies, and/or the development of new technologies that provide farmers with practical and cost effective tools to reduce the intensity of N<sub>2</sub>O emissions from grazing animals under a broad range of climatic and management conditions.

### Challenge Three: Manipulating the rates of soil carbon change in predominantly grazing livestock systems

#### The Challenge:

Research that identifies and quantifies management practices that can increase long-term soil carbon storage in grazing livestock systems under varying (and changing) climatic conditions, different soil conditions and management histories while maintaining or increasing pasture and animal productivity.

*Notes:* Increasing the quantity of soil carbon stored in soils has been identified as the main route by which agriculture can contribute to decreasing net greenhouse gas emissions. This challenge focuses on how the identified potential to increase soil carbon accumulation in soils can be realised. To do this, the most cost-effective and practical management practices have to be identified and their efficacy confirmed and quantified. It is anticipated that this will involve both empirical and modelling approaches.

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<sup>2</sup> There used to be four research challenges. However, due to the difficulties with identifying successful projects against the original fourth challenge (Improved information for farmer decision-making in predominantly grazed livestock systems), it was decided to remove this challenge. Please note that removing this challenge does not mean it is no longer a funding priority for the Alliance or for MPI. It is simply that it was agreed it was not a good fit with the particular international objectives of the GPLER Fund.

## 2. Application and Assessment Process

### 2.1 Summary of the Application and Assessment Process

The following is a summary of the two-stage application and assessment process for Round 3 (refer to Section 2.2 below for key dates):

#### Stage One: Expressions of Interest

- Round 3 will open with a call for a *short* Expression of Interest (EOI) using the Ministry of Primary Industries (MPI) template, available on request or download from [www.mpi.govt.nz/nzlivestockemissionsfund](http://www.mpi.govt.nz/nzlivestockemissionsfund).
- After the closing date for EOIs, each will be checked for completeness and eligibility against a minimum set of criteria (refer to Section 3.2).
- Each EOI will then be critically assessed by a Technical Assessment Panel, the same panel that assessed applications for Round 1 and 2.
- The Technical Assessment Panel will recommend to MPI which EOIs should progress to the full proposal stage.
- Final decisions on which of the EOIs will progress to this next stage will be made by MPI, taking the overall portfolio of proposals into account.
- Successful and unsuccessful EOI applicants will be notified by MPI in writing. Successful EOI applicants will receive detailed feedback from the Technical Assessment Panel as to expectations for the full proposal.

#### Stage Two: Full Proposals

- Successful EOI applicants will be invited to submit full proposals. The forms and guidelines for this will be made available at the time of invitation, along with the standard terms and conditions for funding.
- There will be a 6 month period to develop full proposals. A small amount of seed funding may be made available at this point to assist international project teams to come together to develop their proposal. More information will be provided on this at the time of invitation.
- Shortly after successful EOI applicants are invited to submit full proposals, MPI will contact referees (either nominated or independently identified) for each proposal to confirm availability to review the full proposal once it is submitted.
- After the closing date for full proposals, each one will be checked for completeness and eligibility against a minimum set of criteria. Each proposal will also be sent to referees to review and provide written feedback.
- Each full proposal is then critically assessed by the same Technical Assessment Panel that evaluated the EOIs. The Panel will be provided with all written reviews from referees.
- The Technical Assessment Panel will recommend successful proposals to MPI for funding.
- The final decision on which proposals will proceed to contracting will be made by MPI, taking into account the desired overall balance of proposals across the different challenges and the range from strategic to applied research.

More information on the EOI assessment process is provided in Section 4 of these guidelines.

## 2.2 Key dates and deadlines for Round 3

Key Dates	Event
<b>5 August 2013</b>	<b>Round 3 Expressions of Interest (EOIs) open</b>
22 November 2013 (2pm New Zealand Standard Time)	Final date to ask questions
<b>2 December 2013 (2pm New Zealand Standard Time)</b>	<b>Closing date for EOIs</b>
31 March 2014 (indicative)	EOI applicants notified of outcomes. Full proposals requested from successful EOI applicants
<b>22 September 2014 (2pm New Zealand Standard Time) (indicative)</b>	Closing date for full proposals
October-December 2014 (indicative)	Full proposals independently reviewed, assessed by the Technical Assessment Panel and final decisions made by MPI
January 2015 (indicative)	Selections complete and outcomes notified to applicants
January 2015 (indicative)	Contract negotiations start
March 2015 (indicative)	Projects commence (start date could be earlier depending on when contract negotiations conclude)
March-June 2019	Projects conclude

## 3. Guidelines for applicants

### 3.1 Overview

This part of the *Rules and Guidelines for Applicants* document provides detailed information to aid applicants in the development of EOIs for the Fund. It also provides a section-by-section explanation of the EOI application form so please read it in conjunction with that document.

The three Research Challenges were presented in Section 1.2. Please read these carefully to determine which challenge best suits your idea. You may address one or more Research Challenge in your proposal, but please be very clear which Challenge(s) you are responding to and indicate the connections. Your EOI must present an innovative approach that directly addresses the Challenge/s you have chosen. Proposals may be based on strategic, tactical or applied science but do not have to be all three.

All EOI applications are to be completed using the MPI EOI application form.

Nine hard copies and an electronic version of the completed application form and all requisite attachments must be submitted prior to the deadline of **2pm New Zealand Standard Time, Monday 2 December** to:

Attn: Sue Escott-Brown  
Ministry for Primary Industries  
PO Box 2526  
Wellington 6140  
[sue.escott-brown@mpi.govt.nz](mailto:sue.escott-brown@mpi.govt.nz)

**Late applications will not be accepted.**

Any questions on the EOI application form and/or the process should be emailed to: [sue.escott-brown@mpi.govt.nz](mailto:sue.escott-brown@mpi.govt.nz) before 2pm New Zealand Standard Time, 22 November 2013.

MPI terms and conditions for the submission of an EOI are outlined in Appendix 2. **Submission of Expressions of Interest is deemed an acceptance of these terms and conditions.**

Remember this is just the EOI stage and that more detailed information will be requested at the full proposal stage. **Full proposals will essentially be an expansion on the content of the EOI.**

Your EOI will be reviewed by a Technical Assessment Panel with broad expertise across the three Challenges and a track record in assessing innovative science proposals. However, Panel members will not all be subject matter experts in your specific field. You should therefore, describe your idea in *plain English*, without the use of jargon unique to your field.

Further information in the form of FAQs can be found at <http://www.mpi.govt.nz/news-resources/faqs/global-partnerships-in-livestock-emission-research>. These FAQs were generated during the previous two funding rounds.

## 3.2 Minimum requirements for applications

On receipt of applications, MPI will assess all EOIs against the minimum criteria below:

- Does it directly address one or more of the Research Challenges?
- Is the proposal relevant to New Zealand?
- Is a minimum of 30 percent of the budget requested for the proposed project allocated to New Zealand scientists?
- Does the application include the required amount of international co-funding (cash and/or in-kind)? This is relevant only if more than 10 percent of the budget requested is allocated to international partners. See Section 3.3 for full details.
- Is there a statement confirming that the proposed project will be additional to research already funded or potentially funded from other sources?
- Is there an IP statement?
- Is the proposal led by New Zealand or another Alliance member country?<sup>3</sup>

For further information on the assessment process and these criteria, please see Section 4.

## 3.3 Instructions for the completion of each section of the EOI application form

This section describes in detail the information required in each section of the EOI application form. **Please read it carefully in conjunction with the application form.**

### Section 1: Contact details

One person should be nominated by the research team to be the single point of contact for the proposal. This person does not necessarily have to be the project leader. Please note that all correspondence about the application will be directed through this person so it is vital that this person is easily contactable and that they in turn can easily contact the project leader.

### Section 2: Project summary

Note that proposals are not assessed against this section; it is for information purposes only.

**2.1 Short title:** Please provide a short title that the proposal can easily be referenced by.

**2.2 Full title:** Please provide the full title of the proposal.

**2.3 Project duration:** Expected start and finish dates (the exact start and finish dates will be confirmed during the contracting of successful proposals). Please note the maximum project duration is four years and the earliest possible date that successful proposals are expected to start is March 2015. Funding is only available until 30 June 2019 and projects are expected to conclude ahead of this date.

**2.4 Other Applications:** Is the proposed work currently or about to be submitted in another application elsewhere? If YES please state which organisation it is being submitted to and by what date a decision is expected.

**2.5 Brief statement on the proposal:** This should be a brief statement with enough information to quickly and concisely describe the proposal, its methods, goals and expected outcomes. Note that the statement may be used by MPI publicly.

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<sup>3</sup> For a list of Alliance member countries please visit <http://www.globalresearchalliance.org/>

## Section 3: The Challenge being met

*3.1 Please select the challenge that the proposal is addressing:* It is expected that normally each proposal will address only one Challenge. However there may be circumstances where a proposal may address more than one Challenge – in this case please tick each Challenge being addressed.

*3.2 Brief description of the proposal and key goals/objectives:* The Technical Assessment Panel will assess proposals on how well they contribute to the Research Challenge/s selected, therefore a brief but concise description of the proposal is important. Enough information must be supplied on how the proposal will meet the selected Challenge.

*3.3 Brief description of the anticipated proposal outcomes:* The types of outcomes from the proposal will differ depending on whether the proposal is strategic, tactical or applied, or some combination. In some cases, outcomes may be an actual product, piece of equipment or technology that can be used on-farm in the immediate future; in other cases the outcomes may be a key finding which fills the knowledge gap in a particular area and that can be taken up by subsequent more applied research. Details of how the proposal is relevant to New Zealand should also be included.

## Section 4: Methodology

The research being carried out needs to be of a high international standard and proposals will be assessed on the potential quality of the science and how the research extends the knowledge of emission mitigation beyond business as usual. Successful applicants will have the opportunity to develop this area further and expand on it as part of the full proposal.

*4.1 Description of proposal methodology:* Please provide enough information to give the Technical Assessment Panel an idea of the science being undertaken; in particular you need to demonstrate that it has a high probability of meeting its outcomes and that the research will be of a high international standard. Please note objectives and milestones will be developed in the full proposal.

## Section 5: Additionality

The proposal must be additional to other research that is currently underway or planned.

*5.1 Description of how this proposal is additional to work already being undertaken or planned and/or how the outcomes or methodologies of the project are new or novel.* You must demonstrate to the Technical Assessment Panel that funding sought under this proposal does not simply displace funding that might have been provided from other national or international sources and research programmes. Proposals must significantly extend research efforts already underway or planned and must have the potential to deliver mitigation outcomes beyond those that can be expected from current levels of improvements in production efficiencies.

Where a proposal is an extension of an existing project it is vital that it is made clear how the proposed work will result in research outcomes that were not originally planned and would not have otherwise been achieved. Projects can also be additional by utilising new or novel technology or methodologies, or utilising existing technologies and methodologies in new or novel ways. Please therefore describe this if this applies to your project.

*5.2 Alignment with strategic goals:* Please describe how this proposal aligns with the strategic goals of New Zealand<sup>4</sup> and other collaborating countries included in this proposal. Please also describe what the synergies are between this proposal and the strategic goals and how you will avoid duplication.

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<sup>4</sup> For New Zealand's strategic goals, please refer to the goals of the Sustainable Land Management and Climate Change (SLMACC) programme, the NZAGRC and the Pastoral Greenhouse Gas Research Consortium (PGGRC).

## Section 6: Ability to deliver results

The ability to deliver results is determined by the team that is carrying out the research. This section assesses the suitability of the team assembled to carry out the proposed research.

Proposals should identify the best teams for the research which may include forming new collaborations, including with other countries and with scientists from other disciplines outside of agricultural greenhouse gas research. Applicants are encouraged to adopt a best teams approach and not simply involve existing collaborators. Strong preference will be given to collaborative proposals involving international partners.

**This section will also be used as part of the assessment for minimum New Zealand participation. At least 30 percent of the requested funding must be allocated to New Zealand researchers.**

*6.1 Project team table:* Please fill in the table with details of each of the **key** team members i.e. those that contribute more than a total of 20 percent of a full time equivalent to the proposed work. Please make sure to include the project leader who is also expected to contribute a minimum of 20 percent of a full time equivalent to the proposed project. Other key team members could also include other key individuals such as farmers, developers, representatives of participating organisations etc. The inclusion of PhD students and Post-Docs is encouraged. Please indicate in the table any that may be involved in the proposed project. Note that key team members are **NOT** individuals that are simply well known in the area of research but who contribute little actual time to the proposed research project.

Please include each key team member's current organisation, country and their expertise relevant to the proposed project (further details on the team will be requested at the full proposal stage). A Curriculum Vitae (CV) for each key member of the project team should accompany the EOI (appendix A of the EOI application form). CVs must be completed on this standard template and be a maximum of 2 pages long. Understanding the composition of the project team is an important part of assessing the application for the Panel. Applicants must ensure they have adequately addressed this area.

**Note that a minimum of 30 percent New Zealand participation by project value is expected in all proposals.** Please refer to Section 8.1 of these *Guidelines* and the application form for more detail.

*6.2 Description of how the assembled team has the skills to deliver the stated outcomes:* Clearly describe why this project team is the best team to deliver the proposed work and meet the research challenge being addressed.

*6.3 Statement on possible risks to achieving the stated outcomes:* In order for the Technical Assessment Panel to determine the ability of the team to deliver results, possible risks need to be described. These may include, but are not limited to, availability of key personnel, technical failure, ethical issues, intellectual property issues, regulatory hurdles and end users (e.g. competition, substitutes or alternative methods). At this stage possible risks only need to be identified. Ways in which these risks will be addressed will be asked for in the full proposal.

## Section 7: Anticipated use of research outcomes

It is important that the research outcomes are used and make a difference. This section looks at how you consider that the research will be used and disseminated to identified end-users.

*7.1 Briefly identify all end-users of the outcomes (short and long term) and how the proposal contributes to meeting the mitigation outcomes as identified in the Challenge you are responding to:* Although a concise list may never be possible, it is important that you have thought about and clearly identified the end-users who will benefit from the proposed research.

You should list all end users, including those who will benefit immediately and those who may benefit in the long term (for example if this proposed project leads to further research or technological development and adoption). Depending on the nature of your research these could include, **but are not limited to**, governments, other researchers, industry or farmers. This statement should demonstrate that end-users have been identified and are appropriate and realistic for the research proposal.

*7.2 Statement on how the anticipated outcomes will be communicated to each of the end-users identified in 7.1:* Research results need to be disseminated to the identified end-users to be useful. This statement should demonstrate that you have thought about how the outcomes could best be communicated to each end-user, as appropriate to your research findings and depending on whether your end-users are short term or long term. These communication avenues could include, **but are not limited to**, peer-reviewed publications, manuals, conferences, books, demonstrations to investors and/or farmers, development of on-farm tools, podcasts, websites, articles in rural newspapers highlighting the future benefits of the research.

## Section 8: Budget

As well as asking for high level information regarding funding sought, this section covers important minimum eligibility requirements relating to New Zealand participation and international co-funding.

*8.1 Funding sought:* In this third round of the Fund a maximum of NZ\$10 million is available to support projects for up to four years in duration. Projects must be completed by 30 June 2019. The total cost of individual projects is expected to be in the range of NZ\$1-4 million over the four years.

In the EOI, please indicate the amount of funding requested each year for this proposal and the total amount. All values should be in New Zealand dollars and should not include any tax (e.g. GST, VAT). **Please note the Fund requirement that a minimum of 30 percent of the total budget sought for the proposal must be allocated to New Zealand researchers.** EOIs that do not meet this criteria will be deemed ineligible.

*8.2 Co-funding:* **Co-funding from international partners is required if more than 10 percent of the budget requested from the Fund is allocated to international partners.** For proposals where more than 10 percent of the requested funding going to international partners, it is expected that this co-funding will match **dollar for dollar** the amount of funding that is allocated to those partners.

<b>Funding requested that is being allocated to international partners</b>	<b>Minimum international co-funding required. Please note this is the percent of the total funding requested from the New Zealand fund.</b>
10% or less	No minimum
11%–70%	Minimum of 11% + 1% for each additional 1% requested from the Fund (in other words, dollar for dollar)
71% or more	Any proposal where more than 70% of the funding requested is to be paid to international partners will be deemed ineligible. This is because of the requirement that at least 30% of the funding requested must be paid to New Zealand organisations.

MPI will take a broad approach to co-funding. It can be **cash** (i.e. new money (from another fund or organisation’s budget) that is requested specifically to support the submitted proposal) **or in-kind** (i.e. valuing of staff time and re-allocation of existing resources to the proposal). Please note the currency and do **not** include any tax (e.g. GST, VAT).

Existing projects funded by partners can be counted as in-kind co-funding **but only** if these projects can be clearly shown to directly contribute to meeting the outcomes of the proposal being submitted and/or are being modified to achieve this. Existing research projects and programmes that are indirectly related to the proposal being submitted to the Fund **cannot** be counted as in-kind funding.

Ideally co-funding will have been approved before the EOI is submitted. However, we accept that in some instances it may not have been possible to confirm co-funding before the closing date. Please include in the table all co-funding indicating clearly whether is already approved or has still to be approved. In cases where co-funding is still to be approved, please note the date when you expect the outcome to be known. Please note that co-funding must be confirmed in writing prior to submitting the full proposal and evidence of this confirmation must be included with the full proposal.

**Please note:** The amount to be paid to international partners will be agreed in New Zealand dollars. Funding that goes from New Zealand to international partners is normally expected to support the development of additional research capacity in international partners and/or the additional operating and research costs directly arising from the proposed research program rather than fund the salaries of existing permanent employees.

The level of co-funding achieved along with the percentage of New Zealand participation in the proposal (as detailed in Section 6 and also in 8.1 and 8.4 of this section) , will be taken into consideration during the assessment process.

*8.3 Alignment with other funds:* Proposals that align with strategies and initiatives funded through other national and international funds and regional or multilateral development banks are encouraged. It is expected that your proposal will help expand and enhance these initiatives in mitigating emissions from pastoral farming and will help all parties' to achieve objectives and outcomes. Please provide a description of all initiatives that this proposal aligns with.

## Section 9: Intellectual Property

*9.1 Intellectual Property Statement:* Please provide a statement on how you expect IP to be managed. This will be taken into consideration along with the minimum requirements for co-funding and New Zealand participation. This area will be expanded on in the full proposal where an IP plan will be expected to be developed. For more information on the approach the Fund takes to IP, please refer to Appendix 1.

## Section 10: Referees

Based on feedback from applicants from Round 1 and 2, MPI is making changes to the way it secures expert reviewers for each full proposal and will be contacting referees much earlier in the process to ensure that they are available at the time the full proposals are submitted.

*10.1 Referees:* This section of the form asks you to provide the contact details for three potential reviewers for your proposal. These referees must be experts in the area of proposed project. If your EOI is successful, referees may be asked to review the full proposal after it has been submitted and provide written feedback to the Technical Assessment Panel. Please note that MPI may also identify other, independent referees to review your proposal and provide feedback. All referees and the Panel are required to sign a confidentiality clause.

*10.2 Approval to contact referees:* This part of the form seeks your approval that, if your EOI is successful, the subsequent full proposal can be sent to external referees (nominated and independent) for review and written feedback. If parts of the proposed work are confidential, this should be clearly indicated.

## 4. Assessment of Expressions of Interest

This section provides you with further information on how MPI and the Technical Assessment Panel will assess the EOIs.

### Minimum eligibility criteria

On receipt of applications, MPI will assess all EOIs against the minimum criteria as specified in part 3.2 of these *Guidelines* (refer to page 8). **Any EOI that does not meet these criteria will be deemed ineligible and will not be provided to the Technical Assessment Panel for evaluation.**

### Evaluation by the Technical Assessment Panel

EOI applications that meet the minimum criteria will be provided to the Technical Assessment Panel for evaluation. The Technical Assessment Panel will use seven main criteria to assess the EOI applications as follows:

#### *Criteria 1: Relevance to the Challenge and the Fund*

Is the proposal relevant to one of the Challenges and also to the aims of the Fund?

#### *Criteria 2: Science excellence and innovation*

Does the proposal demonstrate a high standard of scientific excellence? Does it extend current knowledge in mitigation research and/or develop novel approaches that show promise for meeting the stated research challenge?

#### *Criteria 3: Methodology*

Is the proposed methodology robust and appropriate for the proposed objectives? Are hypotheses clearly stated and sound?

#### *Criteria 4: Additionality*

Does the proposal demonstrate additionality? How does the proposed research differ from that which would have occurred anyway? Funding sought under this proposal should not simply displace funding that might have been provided from other national or international sources and research programmes.

#### *Criteria 5: Best team to deliver stated outcomes*

Does the research team demonstrate that it contains the necessary expertise and experience to address the Challenge (including internationally and across disciplines)? Are there any significant gaps in the team that, if filled, would have made the team more likely to succeed?

#### *Criteria 6: Risks and barriers*

Has the proposal identified possible risks and barriers to achieving the stated outcomes (personnel, technical, ethical, IP, regulatory, competition, substitutes or alternative methods)?

#### *Criteria 7: Anticipated use of the research outcomes*

Has the proposal identified who will use the outcomes generated and how these outcomes/results would contribute to mitigation outcomes? Has the proposal clearly explained how the outcomes are to be communicated and transferred to the potential next users to ensure they are actually used?

*Please note that MPI reserves the right to request more information on any EOI application submitted that does not meet one aspect of the criteria adequately but where the overall proposal demonstrates merit.*

When deciding which EOIs should proceed to the full proposal stage, especially where two proposals may be given equal overall scores by the Technical Assessment Panel, MPI will also consider the following aspects:

- **Value for money:** Are the proposed costs realistic and reasonable? Do they represent the full costs of delivering the stated outcomes including knowledge transfer? Is the amount sought “value for money” based on the research proposed?
- **Balance between co-funding, New Zealand collaboration and IP ownership:** Proposals must meet the minimum co-funding requirement and a minimum of 30 percent of the requested funding must be spent on New Zealand research. The Technical Assessment Panel will assess each proposal on a case-by-case basis and will consider the balance between co-funding and collaboration in conjunction with the IP management plan (in the case of the EOI, the IP statement) to assess the overall benefit to New Zealand.
- **New collaborations:** An objective of the Global Research Alliance is to promote international collaboration. Many research organisations already have strong international ties which may be drawn upon to develop proposals for this Fund. However, this Fund is an opportunity to develop new collaborations which may not have been possible in the past. Therefore, although existing international collaborations and networks are acceptable, demonstration of new international collaborations is encouraged and will be considered positively, especially in a situation where two proposals are ranked equally based on the main set of criteria listed previously. Collaboration with scientific disciplines outside of traditional agricultural greenhouse gas research areas is also strongly encouraged.
- **Balance of proposals between strategic, tactical and applied:** The Fund encourages all proposals, whether strategic, tactical or applied. Where the Fund is over subscribed, a balance needs to be struck in the overall Fund portfolio to cover all three. Therefore, although there may be multiple excellent proposals in one area, all may not be funded as this would not enable the funding of a balanced portfolio.
- **Alignment with other international funds, regional or multilateral development banks:** Proposals that align with initiatives funded through other national and international funds and regional or multilateral development banks are encouraged. It is envisaged that these proposals would expand and enhance these existing initiatives for the mitigation of emissions from pastoral farming and will help meet all parties’ objectives and expected outcomes.

When making its final ranking of all proposals, the Technical Assessment Panel is also mindful of the desire of MPI to see, to the extent possible and justifiable, at least one proposal funded in each of the Research Challenge areas. The Technical Assessment Panel will also consider the extent to which proposals would build capability and capacity in livestock emission mitigation research in Alliance member countries.

The Technical Assessment Panel will then recommend to MPI those EOIs to be invited to submit a full proposal.

## Appendix 1: Approach to Intellectual Property

Applicants are required to provide a statement in their EOI regarding how intellectual property<sup>5</sup> (IP) will be managed. An “IP Plan” will be expected to be developed as part of any full proposal. This plan must outline in particular how Project IP (PIP) developed using multiple sources of funding will be handled. This plan must be approved by all parties before contract signing.

MPI’s principles in relation to the management of IP are set out below.

### General Principles

- IP should be dealt with in a manner that ensures maximum benefit for both New Zealand and the Global Research Alliance.
- Unless there are strong reasons to withhold, protect, or commercialise IP developed in the course of carrying out a project, then it should be made public and freely available.
- Achieving maximum benefit to both New Zealand and the Global Research Alliance has a greater priority for MPI than achieving commercial returns on its research investment.
- MPI will advise if international obligations and national security matters that require the Project IP to maintain confidential.

### Background Intellectual Property (BIP)

- Ownership of all existing BIP needed to carry out the research programme remains the property of the existing owner.
- Where MPI (or any other party to the agreement) requires the use of any BIP for the duration of the project, or the ongoing use of any BIP in any outcomes of a project, then appropriate licences will be granted to it. Where BIP owned by a third party is proposed to be used in the project, the IP Plan must detail how the applicant proposes to gain appropriate access to this BIP.

### Intellectual property developed in the course of carrying out a project (PIP)

- MPI will seek an ownership interest in PIP developed by the successful applicant in the course of carrying out the project where the relevant work was directly supported by the New Zealand fund.
- MPI normally grants to participants in a project an irrevocable, royalty-free, non-exclusive, worldwide, transferrable, sub-licensable license for all non-commercialisable PIP for the purposes of research, publication, and dissemination and use to the applicant.
- Specific terms for the ownership of PIP developed when funding comes from multiple sources, and for access to BIP required in the future use of PIP, will be negotiated by MPI in good faith consistent with the above principles.

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<sup>5</sup> “Intellectual Property” means all statutory, common law and other proprietary rights in respect of data, information, patents, patent applications, inventions, designs, trademarks, business names, copyright works, know-how, trade secrets, plant varieties, layout designs, results, outcomes, conclusions, products, systems, genetic material, experimental methods, processes, databases, notes, drawings, records, memoranda and other writings, computer programmes (including source code), graphics and data (in whatever form or format), whether registerable or not in any country (including New Zealand).

## Appendix 2: Terms and conditions

These terms and conditions apply to the EOI stage of the New Zealand Fund for Global Partnerships in Livestock Emissions Research. **Submission of an EOI proposal is deemed an acceptance of these terms and conditions.**

### 1. Provider's obligations

MPI will rely on the information in, and given about, a response. The provider's response (and any information about the response) must, therefore, be complete, accurate and not misleading. The provider represents and warrants to this effect. It is the responsibility of the provider to ensure that they are fully informed about this EOI.

### 2. Use of information

Providers may not use any information in this EOI, or provided in relation to it, except to prepare their response.

### 3. Confidentiality of supplier information

MPI will make every effort to maintain confidentiality in respect of information supplied by any provider. However, confidentiality cannot be guaranteed because enactments, including the Official Information Act 1982, and government processes, including the Minister's obligation to answer Parliamentary Questions and Orders of Court will apply.

### 4. Validity period

Once submitted each response remains open for acceptance by MPI and may not be withdrawn or modified, except with the written consent of MPI, until expiry of 90 days after submission closing time.

### 5. Rights reserved by MPI

In accordance with the mandatory rules of procurement and to the maximum extent allowed by law, MPI reserves the unrestricted rights at any time to:

- (a) change any date in this Fund process (e.g. extend or shorten time frames),
- (b) apply, or change, any policy or criteria relating to participation in this Fund process or the evaluation of responses,
- (c) exclude any person from this Fund process (whether on the grounds of capability, price, government policy or direction, security or operational requirements, or otherwise),
- (d) reject or not consider any non-compliant response,
- (e) liaise, negotiate or contract with any provider or other person at any time without disclosing this to, or involving, or doing the same, with any other provider or person (whether before, during or after this Fund process),
- (f) have any of MPI's representatives at any reasonable time inspect any property, or interview any personnel of any provider or other person as part of its evaluation process,
- (g) delete any good or service from this EOI process,

- (h) change any rule of this Fund process by notice,
- (i) suspend or cancel this Fund or any process arising from it at any time and for any reason by notice,
- (j) not accept the lowest or any response, or not enter into any contract,
- (k) enter into one or more contracts in respect of any part of the requirement,
- (l) not give any reason to any person for the rejection, failure or otherwise of any provider or response, or any suspension or cancellation of this Fund process,
- (m) select a single supplier or a mix of suppliers as it sees appropriate to fulfil the objectives,
- (n) withhold any information from any person for any reason, and will not be responsible to any person for any information provided under or in connection with this EOI,
- (o) for any reason exclude, liaise with, select, negotiate with and/or enter into Agreement with any provider at any time in respect of this Fund,
- (p) consider a response that has been submitted after the EOI Closing Date at its discretion; or, alternatively, decline any response not received before the EOI Closing Date,
- (q) make any change to the EOI and to the Fund process. Where a significant change affects either the scope of work or the Fund process MPI will either notify the person or organisation initially advised of the Fund or, , through the Government Electronic Tenders Service (GETS) Website,
- (r) seek additional information about providers from any source,
- (s) require providers to submit further information or make presentations,
- (t) undertake due diligence relating to any provider at any time during the Fund process,
- (u) enter into discussions and negotiations with any person or organisation(s), not necessarily restricted to those who responded this EOI,
- (v) re-advertise the EOI at any time.

## 6. Advise of outcome

MPI will advise you if your response has been successful or unsuccessful in writing.

## 7. Disclosure of information

New Zealand Government Departments must act in accordance with mandatory standards and procedural requirements for the conduct of procurement. These rules reflect and reinforce New Zealand's established policy of openness and transparency in government procurement.

MPI wishes to highlight the requirement within Rule 48, which requires MPI to publish on the GETS Website: the name and address of successful providers, a description of the goods or services, contract term, and contract value.

MPI policy is:

- (a) to automatically disclose details of successful providers and price(s) (but no detail of price composition) to relevant industry/tender publications and other interested persons on request. If a successful provider does not want this information disclosed, it must specifically request this treatment in its response and give its full reasons why, however, non-disclosure by MPI cannot always be assured due to its own disclosure obligations;
- (b) details of an unsuccessful response will not be disclosed without the authority of the provider concerned except to the extent MPI may be required by law to disclose it.

## 8. MPI's disclaimer of liability

While MPI makes every effort to provide accurate information, it does not accept any responsibility or liability (whether in tort, contract or otherwise) to any person for errors of fact, omission, interpretation or opinion that may be present, nor for the consequences of any decision based on this information.

## 9. Privacy

The information you provide will be held and used by MPI for the purposes described in, or contemplated by, this EOI. Such information will be disseminated on a need-to-know basis only to those Ministry Officials, employees and consultants tasked with setting up the procurement. Unless required under Statute or in response to a question in Parliament, any shortlist compiled under this EOI process will not be published.

You have rights of access to, and correction of, personal information provided by you in accordance with the information privacy principles of the Privacy Act 1993.

Any personal information submitted to MPI in response to this EOI will only be retained as long as necessary by MPI and/or MSI in accordance with its obligations under the Privacy Act 1993.

Any non-personal information may be retained, returned or destroyed at MPI's sole discretion.

## 10. Proprietary rights

Every proprietary right in information in, or provided by MPI during the course of, this EOI belongs to MPI.

## 11. MPI not liable for costs

MPI will not be liable (in contract or tort, including negligence) for any direct or indirect damage, loss or costs (including legal and lawyer/client costs) to any provider or other person in respect of this EOI process.

## 12. No undisclosed benefits

Providers must not directly or indirectly provide any form of inducement or reward to any representative of MPI in respect of this EOI.

## 13. No publicity

Providers must not, without MPI's prior consent in writing, make any public statements about:

- this EOI or their participation in it, or
- the providers or anyone else's success, or lack of success, with a response.

This does not apply to information on this EOI which is already in the public domain.

#### 14. NZ\$ (currency)

All pricing presented within a response for requested funding is to be in New Zealand dollars and exclude GST unless specified otherwise in each case.

#### 15. New Zealand time

New Zealand time and dates apply to this EOI.

#### 16. New Zealand law

New Zealand law governs this process and New Zealand courts have exclusive jurisdiction.