Tertiary Education Commission
Te Amorangi Mātauranga Matua

Entrepreneurial Universities

Request for Funding Applications

For Round Two

Contents

1. Introduction

1.1   About this document

The purpose of this document is to invite applications for funding through the Entrepreneurial Universities (EU) initiative. The document provides details on how to complete and submit an application. All applications for funding must be made in accordance with this Request for Funding Applications (RFA).

1.2   Overview

The Entrepreneurial Universities initiative promotes Government priorities for supporting New Zealand's universities to stimulate innovation and entrepreneurship.

> *"Entrepreneurial Universities is all about attracting more of the world's leading researchers and their teams to locate their labs here and base themselves in New Zealand…*
>
> *…we are especially wanting to recruit people with an established record in innovation and entrepreneurship in the top 'maker' disciplines, to help grow the pipeline of excellent innovative start-up companies in New Zealand, and train the next generation of scientific entrepreneurs."*
>
> *- Hon Steven Joyce, Minister of Tertiary Education, Skills and Employment*

The initiative focuses on attracting entrepreneurial academics with the particular skills, networks and credibility to substantially boost innovation and enterprise within universities, and within the industry (or industries) they collaborate with.

The purpose of the Entrepreneurial Universities initiative is to support New Zealand universities to recruit world leading entrepreneurial researchers who will create new knowledge in areas of technology intensive research to contribute to New Zealand's economy.

In 2016 the Government allocated up to $35 million of funding over the first four years with $10 million in outgoing years. Each proposal will be able to seek up to $1 million per year of matched funding to pay for the research activities of a university's international entrepreneurial academic recruit for a period of 3-4 years, or as negotiated on a case-by-case basis.

Applications must be supported by a cover letter from the university with the Vice Chancellor's declaration authorising all applications submitted by their respective university. Each successful university will be responsible for recruiting and delivering on their research programme.

2. Policy objectives

2.1   Government Priorities

The Entrepreneurial Universities initiative is expected to contribute to:

- The Business Growth Agenda;
- The National Statement of Science Investment;
- Budget 2016 Innovative New Zealand package; and
- The Tertiary Education Strategy 2014-19.

Business Growth Agenda

The Business Growth Agenda drives the Government's overarching strategic priority to *"build a more competitive and productive economy"*. It includes a focus on building export markets by developing more internationally connected businesses, and emphasises the importance of increasing the impact and relevance of publicly-funded scientific research.

National Statement of Science Investment

The National Statement of Science Investment aims to increase scientific excellence through seeking a larger, responsive and engaged science and innovation system. It aims to increase the impact across New Zealand and leverage strong international connections.

Innovative New Zealand package

At Government budget 2016, $761 million was proposed to be invested in the Innovative New Zealand package which focusses on growing New Zealand's science system. The package seeks to encourage innovation and industry investment in regional New Zealand and included contingency funding for the Entrepreneurial Universities initiative.

Tertiary Education Strategy

The Tertiary Education Strategy 2014-19 outlines the Government's long-term objectives for tertiary education. The Entrepreneurial Universities initiative contributes to the achievement of these objectives, and in particular to Priority 5: *Strengthening Research-Based Institutions*. Priority 5 highlights the need for universities to attract and develop skilled staff to teach and contribute to growing a strong research base. Linking research more actively to the needs of industry plays an important part in creating an innovative and productive economy.

2.2   Rationale

The Government has noted the important role that tertiary institutions with high-calibre entrepreneurial academics can play in leveraging New Zealand's research system to support economic growth. This role is important for several key reasons:

- Connections between researchers and industry are key to achieving knowledge transfer;
- Tertiary institutions play a leading role in national innovation systems;[1] and
- New Zealand universities working with industry make a big difference for the New Zealand economy.

The Entrepreneurial Universities initiative provides certainty that dedicated research funding will be made available to support successful applicants. The availability of secure and long-term funding provides an attractive value proposition to help recruit high-calibre international academics from overseas.

2.3   Entrepreneurial Universities

Impacts

The Entrepreneurial Universities initiative will support universities to attract excellent researchers with entrepreneurial and commercial skills and knowledge, who have demonstrated their ability to leverage university expertise to contribute to business growth. The outcomes expected include more commercial innovation through the application of excellent research. Other benefits will include:

- more entrepreneurial researchers and graduates who can successfully collaborate with industry or start up their own company, and
- a substantial boost to innovation within universities and the industries academics collaborate with.

Activities

Entrepreneurial academics recruited through this initiative are expected to undertake the following activities:

- lead and contribute to excellent research
- bring with them global academic and business networks
- demonstrate and share best practice in leveraging research for commercial gains
- help to build and strengthen partnerships with research intensive firms, and
- support the development of entrepreneurial post-graduate researchers.

Findings from stakeholder consultation

As part of the first funding round consultation with stakeholders – including a collaborative workshop held with universities, technology incubators, and businesses – produced a range of findings that have informed the development of the initiative and the first procurement process. A summary of these findings can be found on the TEC website. Applicants should consider these themes in identifying candidates for recruitment and constructing their funding application(s).

2.4   Funding

The Government has allocated $35 million over four years and $10 million per annum for outgoing years for the Entrepreneurial Universities initiative.

Successful applicants will be granted up to $1 million per annum to fund each entrepreneurial academic's research programme. Government funding will be matched by the host university, with

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[1] Ministry of Business, Innovation and Employment (2016) *OECD Knowledge Triangle Framework in a New Zealand context.*

the quantum and nature of the contribution of the university considered in assessing value for money. Most applications will be funded for a period for 3-4 years, but can be negotiated on a case-by-case basis.

TEC reserves the right not to allocate all of the funding and will not necessarily allocate funding equally between applications or universities. There may also be opportunities for future rounds.

The Government proportion of funding is not to be used for local research provision (e.g. New Zealand based researchers), it is for new to New Zealand entrepreneurial academics that increase the outcomes desired. Neither is it to be used for university overhead or capital costs associated with the entrepreneurial academic.

Applicants will detail the breakdown of their costs and respective requests, detailing where university funding and Government funding are spent respectively in part B of the application.

3. Assessment

3.1   The funding application process will comprise three stages

1. Evaluation: Following evaluation of all eligible applications, the Expert Assessment Panel will notify the TEC Board with their recommendations for approval of funding.

2. Approval of funding: The applicants will then be notified that they have approval of funding and can commence recruitment of their named candidates. Approval of funding is provided subject to the applicant successfully undertaking the recruitment as submitted in their application.

3. Funding drawdown: Once TEC has confirmation that the university has successfully completed recruitment, the approval of funding will be confirmed and a Funding Confirmation provided.

3.2   The Expert Assessment Panel (EAP/the Panel)

Eligible applications will be assessed by an Expert Assessment Panel. The Panel will comprise a mix of eminent international and domestic experts, and a non-voting Chair representing New Zealand Government.

The Panel will provide recommendations to the TEC who will make final funding decisions.

3.3   Applications will be triaged into three groups

Some applications will be more advanced than others (for example, in some applications specific academics will have already been identified).

Other proposals may still be in the concept/development phase yet will still have significant potential (for example, research areas, industry support and a few potential candidates may be identified but a specific individual may yet to be identified/approached).

For these reasons, applications will fall into one of three groups:

1. **Standard applications** – those that are deemed robust and ready to approve. These will specify a candidate or a short-list of up to five candidates for a proposed role and will articulate a clear plan for achieving their desired impact. These proposals will receive approval of funding subject to the universities recruiting their identified candidate(s).

2. **Development applications** – those that have a clear concept and desired outcomes identified, but do not yet have identified academics, or which are generally deemed to have merit as considered in the assessment criteria but require further development. These will be subject to further development by the university to achieve the standard required for approval of funding. The number of applications progressing via the development application process will not exceed the total remaining budget which has been set aside. Applicants who successfully develop and resubmit their application to the satisfaction of the EAP will then follow the same process as standard applications.

3. **Declined applications** – those that fail to meet eligibility criteria or do not show sufficient merit to warrant collaborative development.
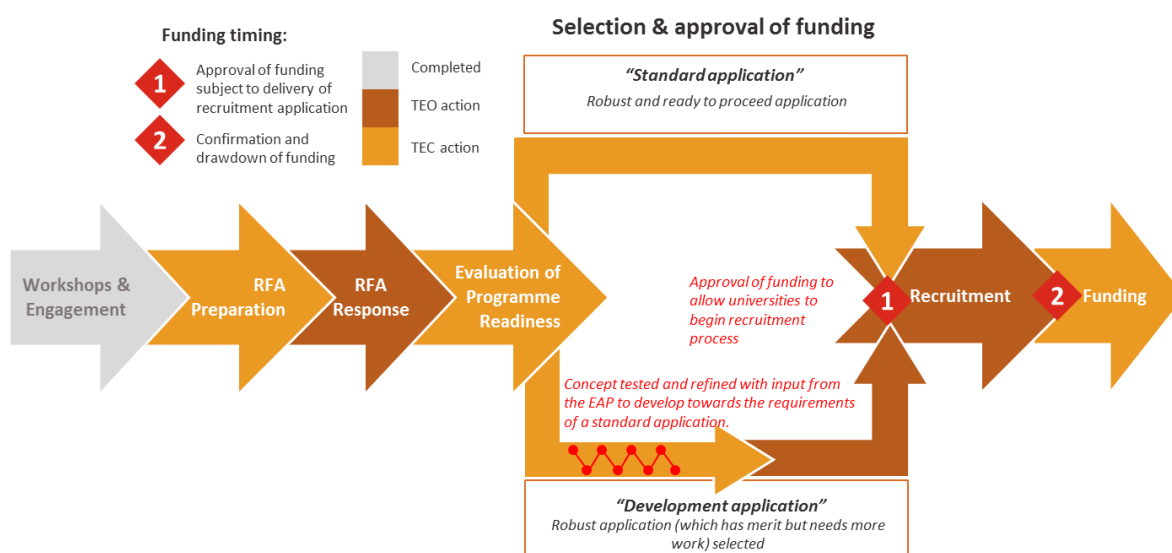
3.4   Evaluation process

Applications for funding, plus any additional information requested by TEC, will be evaluated in the following four steps.

Step 1: Eligibility check

TEC will check that the applications meet the eligibility criteria detailed below. Applications that do not meet eligibility criteria will not be considered further.

To be eligible the application must demonstrate the following requirements:

- application is submitted by a New Zealand university
- commitment to at least match the Government funding, and
- commitment to search internationally for the recruitment of an overseas academic and their team(s).

Step 2: Evaluation of applications

The EAP will assess eligible candidates against the criteria detailed in **Section 10** of this document. Based on this assessment, the EAP will determine whether each application is successful as a standard or development application, or is declined.

A Standard application will meet the following requirements:

- specify a target academic or a short-list of up to five candidates for the proposed role;
- clearly identify an intended impact for New Zealand, and
- articulate a strong realisation plan and support ecosystem for the academic(s).

The TEC (We) will review all applications and will endeavour to notify applicants of the outcome of the stage one assessment within three weeks of the application close date.

We will coordinate with those applicants who have submitted development applications to identify appropriate timing for the further development, resubmission and re-evaluation of their application, with a view to providing approval of funding as soon as practicable.

Step 3: Approval of funding

Successful applications (including development applications following their successful resubmission) will be eligible for approval of funding. These applicants will receive letters approving funding provided that specified conditions (reflecting the content of the approved application) are met.

Approvals of funding will be valid for a period of six months from the date they are issued. Applicants will be expected to provide confirmation of recruitment to TEC within this period to secure funding.

Step 4: Funding confirmation

Upon successfully recruiting their specified candidate, applicants will confirm to the TEC with evidence that they have met the conditions specified in their approval of funding letter. We will then confirm that the recruitment was executed as agreed in the approval of funding letter. These confirmations will be done individually on an ongoing basis as required.

Funding allocations and conditions of funding will be set out in a Funding Confirmation which will be sent to the applicant by letter.

Entrepreneurial academics and their teams will be expected to commence work in New Zealand within one year of approval of funding being provided. In exceptional circumstances, applicants may

apply for an extension of this period. Extensions will be granted at the sole discretion of the TEC on a case by case basis.

3.5   Timeline

Activity	Date
RFA release	12:00 noon, Monday 30 October 2017
RFA Q&A Sessions (details to follow closer to the date)	Monday 27 November 2017
Applications accepted from	Friday 2 February 2018
RFA questions close	12:00 noon, Friday 9 February 2018
Final questions answered and posted to TEC website (Questions will be answered and posted asap after received)	5:00pm Thursday 15 February 2018
RFA application submissions close	12:00 noon, Friday 23 February 2018
Assessment of RFAs and if required, dialogue to refine applications	Mid-March 2018
Notification of outcomes from stage one assessment: • Standard applications with approval of funding • Development applications identified for development	Up to mid-April 2018
Development applications revised and reassessed on a rolling basis	From mid-April 2018 to 31 December 2018
Negotiations and contracts with successful universities completed	June 2018

4. Application guidelines and requirements

4.1   Application guidelines

In preparing an application, applicants must follow the guidelines below. Guidelines are intended to help applicants focus their application(s) on candidates and areas of research expected to generate excellent outcomes and benefit for New Zealand.

All application(s) must identify research activities that:
- create or build on technology platforms that are complex and/or transformative
- link to existing or developing core capabilities (research and commercial) in New Zealand
- utilise New Zealand's competitive strengths and/or take advantage of significant opportunities for New Zealand, particularly when supported by a strong body of evidence, and
- inspire and integrate multi-disciplinary and industry/business needs.

All application(s) must also identify entrepreneurial academic(s) and research teams that:
- are based overseas at the time of application
- will relocate to New Zealand for a minimum of 7 months per year (does not need to be 7 consecutive months)
- have an outstanding academic record
- have experience working with industry or in industry

- are engaged in cutting-edge, scientifically-orientated research
- are leaders (or emerging leaders) in their field
- will become a faculty member, or hold a joint appointment, at a New Zealand university
- have the support of their universities and/or their agencies to enable connections to be made with other relevant industry and trade organisations and economic investment agencies (public and private), and
- can demonstrate an entrepreneurial mind-set and have previously demonstrated entrepreneurial behaviours.

Note, where an application is only at the 'Development' stage, all applicants must be cognisant of the factors set out above when they look to identify appropriate entrepreneurial academics.

4.2   Parts to the application

The application contains three parts:

- **Application form** Declaration and authorisation for all applications.
- **Part A -** Details relating to the candidate and proposed academic programme.
- **Part B -** Details of the estimated costs and revenue of the application.

All parts of the application must be completed in full for an application to be considered.

4.3   Application form completion and submission of multiple applications

The application form should identify the Vice Chancellor for each university to act as the key authority for approval of application(s) submission and point of contact between the university and the TEC.

Universities may make multiple applications and where doing so, they are required to enclose their applications within this application form, identifying and supporting all of the university's applications from different faculties/research areas.

The application form requests important organisational details including:

- Legal name
- edumis number
- name of Vice Chancellor
- address, phone number(s)
- email and
- university website.

5. Completing Part A of the application

Each application must comply with the following requirements:

- a word document which has been saved as a PDF file
- have a font size of at least 10 point
- not exceed 12 pages in length with an additional 5 page resume permitted per additional academic/research team (to the maximum of 5) and up to 3 letters of support
- clearly state the name of the university and application title
- clearly state the names and contact details of the Vice Chancellor and key contact for application

- answers all questions in the order and headings provided

Any information over the page limits **will be removed**, and not be considered in the assessment process. Applicants must not submit marketing material or testimonials. Additional information provided will not be considered in the assessment process.

5.1 Information requirements

Each Applicant must submit information about its proposed candidate and research programme. This will aim to address the eligibility criteria and proposal guidelines outlined in the summary of key requirements in section 10.

When assessing how well an application meets these requirements, TEC will consider both the information applicants provided in Part A, Part B and any TEC-held performance information deemed relevant.

These are the information requirements set by the TEC and failure to meet and demonstrate these requirements will impact on the evaluation of your response.

Description of Information Requirements

Please address each given section in order and provide supporting evidence where appropriate

1. Academic(s) and research team(s)

Describe the proposed entrepreneurial academic(s) (if named at this stage), proposed teams.

Describe their track record in research, entrepreneurism and industry. What domestic and international networks and resources will the candidate and their research programme draw on?

2. Research programme(s)

Describe the proposed research programme(s), research plan and roles within the research programme. Emphasise the role the entrepreneurial academic(s) will have in the project. Describe any aspect(s) of the project that will be led by collaborating partners.

Describe the academic and university's track record in commercialisation activities, proposed research area and evidence to support proposed research programme.

3. Supporting eco system

Describe the eco system surrounding the research programme.

Describe how the research programme will influence and interact with that eco system to deliver improved economic and/or social benefits to New Zealand.

Describe the impacts for the university and New Zealand resulting from the ecosystem surrounding the proposed research programme.

Describe how the academic will be managed and supported at both initial and end points of their tenure and within the wider university governance structure.

Describe networks and access to resources that will be leveraged, both domestically and internationally.

4. Industry impact

Describe how the academic will contribute and be accessible to industry and businesses for proposed research and/or commercialisation activities. Describe how the relationship between university and industry will be managed.

Describe how any existing industry and broader business ecosystem resources will be leveraged – including level of relationship and names of proposed industries/businesses.

5. Reporting and monitoring

Describe how you intend to demonstrate to TEC that the proposed research programme is delivering against the initiative outcomes.

Describe what the critical success factors will be. This will form the basis of an evaluation framework for the policy and research impact.

6. Implementation and recruitment plan

Describe the implementation and recruitment plan, including the value proposition for the academic, the implementation of the proposed research programme and other activities and roles they will play in the university.

7. Assumptions/other

Outline any assumptions you have made in the drafting of your application or any other supporting information you would like to add.

8. Letters of support (optional)

Please provide letters of support (up to 3), preferably from academia, industry or government that support your programme of research, proposed candidate (if named at this stage), and/or commitment to connect with industry.

6. Completing Part B of the application

Applicants are requested to provide a breakdown of their estimated costs and forecasted revenue relating to their proposed research programme using Part B of the application form (Excel file).

Successful applicants can seek funding up to $1 million per annum to fund each entrepreneurial academic's research programme subject to request. Government funding will at least be matched or exceeded by the university contribution, with the quantum and nature of the university contribution considered in assessing value for money.

The matched funding criterion applies to the running total of funding requested over the proposed programme and is not applied on a per-year basis, i.e. the government contribution may exceed the university contribution in a given year, provided it is offset by overmatching university contribution(s) in a previous year(s). This gives applicants the flexibility to front-load their contribution (e.g. to cover start-up costs in early years).

Applicants are requested to give details of relevant costs as single line items in the budget template. Costs are to be clearly explained in the Descriptions/Assumptions section.

If you require more space, please add additional rows to the budget template. Costs cannot be revised or amended after applications close. Text in blue are provided as examples for the types of costs that could be incurred.

6.1 Costs

Funded programme delivery costs
The costs eligible for funding through the Entrepreneurial Universities initiative are those costs which can uniquely and unambiguously be identified to execute the proposed research programme. The applicant should determine how to apply this criterion, bearing in mind that the composition of the budget will be taken into consideration in the TEC's assessment of value for money.

Non-funded overheads and operating costs
Overhead and capital costs are classified as ineligible, which means that they cannot be met with the government funding contribution. While ineligible costs are requested in Part B of the budget template, these costs are to be covered as part of the university's contribution. Therefore, the subtotal of the ineligible costs in any given year should not exceed the university contribution for the same year.

6.2 Forecasted revenue

This includes the estimates of any potential income or additional funding able to be accessed as a result of hiring an entrepreneurial academic. For example if the university is successful in receiving additional research funding or income from commercialisation of research.

7. Monitoring and performance commitments

Monitoring and evaluation are important aspects of the initiative. The TEC will monitor the performance of the funded research programmes and evaluate the broader impacts and benefits they have for New Zealand. Monitoring and evaluation are designed to:

- identify success factors and impact drivers to improve our understanding of what works and why, and allow for continuous improvement or development of the Entrepreneurial Universities initiative;
- understand how the Entrepreneurial Universities initiative is achieving the Government policy objectives; and
- understand the impact of each of the research programmes funded through the Entrepreneurial Universities initiative.

The initiative will be evaluated against its policy objectives

The TEC has developed an Outcome Assessment Framework (OAF) for the Entrepreneurial Universities initiative. The aim of the AOF is to evaluate the success of the initiative in delivering on its policy objectives. The Framework will also assist the funded research programmes in demonstrating their contribution to the policy objectives of the Entrepreneurial Universities initiative.

Funded programmes will be evaluated against indicators agreed between the applicant and the TEC

The applicant will be accountable for programme performance as measured by an agreed set of outcomes and milestones. **As outlined in Part A information requirements on pages 13**, applicants will be asked to explain how they will show TEC that their research programme is delivering on the initiative's outcomes. This information will provide the basis for the collaborative development of an evaluation framework.

8. Submitting an application

The TEC will only accept:
- application form as a PDF file (that is a word document saved as a PDF file).
- Part A of the application as a PDF file (that is a word document saved as a PDF file) with academic resumes and letters of support (PDF or Word) attached and named as supporting Part A files *e.g. Academic resume 1 and letter of support 1*
- Part B as an Excel file.

Applications will be accepted from Friday 2 February 2018. Applicants are encouraged not to submit an application before this date to ensure they have adequate time to consider any further releases of information or responses to clarification questions. Applications will not be opened or assessed prior to the closing date.

Applications may be amended by resubmitting it in whole or in part. Applications may also be withdrawn at any time prior to the closing date specified below.

Applications must be submitted by email to [eui@tec.govt.nz] by 12:00 noon on Friday 23 February 2018.

When submitting an application, Applicants must include "EU Initiative Funding Application – [Institution Name]" in the subject line.

> [Name Part A as: 'EDUMIS – organisation name – EU Part A' (PDF)]
> [Name Part B as: 'EDUMIS – organisation name – EU Part B' (XLS or XLSX)]
> [Name Application form as 'EDUMIS – organisation name – EU Application form' (PDF)]

Applications <u>must not</u> be submitted by physical delivery or facsimile (wholly or in part) directly to any TEC staff member. The TEC will acknowledge receipt of applications and any withdrawal of an application via email.

9.   Questions

RFA Q&A Workshop

The TEC will be hosting an RFA Questions and Answers Workshop on **Monday 27 November 2017.** At the workshop universities can seek clarification and/or request further information about the application process.

Questions and answers (Q&A) from this workshop will be documented and published on the TEC website to ensure all applicants have fair access to these if they cannot be there in person. Details regarding this workshop will be published on the TEC website closer to the date.

Questions
Applicants may also ask questions by emailing [eui@tec.govt.nz].

TEC will publish all questions and responses on the TEC website. The TEC will endeavour to publish all answers in a timely manner.

In submitting a request for clarification an applicant is to indicate, in its request, any information that is commercially sensitive. The TEC will not publish such commercially sensitive information.

If an applicant's question is specifically related to commercially sensitive information, we may consider answering the question directly but only in cases where the applicant would not gain an unfair advantage.

We may also consider modifying a request to eliminate such commercially sensitive information, and publish this and the answer where it is considered of general significance to all applicants. In this case, however, the applicant will be given an opportunity to withdraw the request or remove the commercially sensitive information.

The Q&As from the first funding round workshop are still available on the TEC website. Applicants are encouraged to review these Q&As before submitting further questions and before the November workshop.

The last date for submitting <u>questions</u> is 12:00 noon on Friday 9 February 2018.

Applicants are strongly encouraged to complete both parts of their application form before the last date for submitting questions. This is to ensure that technical questions about the application forms can be answered before questions close.

Any change to this RFA or additional information provided by the TEC will be published on the TEC website. Applicants will be notified via the email address they have provided in their application when new information becomes available on the TEC website. Applicants are encouraged to check the TEC website regularly for any releases of new information.

10. Assessment of applications

To determine whether an application will receive funding, the TEC will apply the following assessment criteria. All evaluations will be undertaken with reference to evidence shown by the applicant and any other TEC held performance information deemed relevant.

2016 Entrepreneurial Universities Assessment Framework		
Evaluation Criteria	Description and components	Weighting
PART A		
1. Benefit for New Zealand	The applicant demonstrates how their proposed research programme delivers benefit for New Zealand: • increasing innovation capability and performance in universities, existing businesses and start-ups • increasing international linkages and networks for universities and • building the NZ Inc brand through an entrepreneurial culture.	30
2. Excellence of proposed entrepreneurial academics and research programme	The applicant demonstrates the excellence of their proposed entrepreneurial academics (and their research teams) and/or research programmes with reference to: • proposed academic's multidisciplinary experience • proposed academic's experience working in both academia and industry • research activities or activities academics are engaged in are cutting-edge and scientifically-oriented • demonstration of academics ambition and intellectual curiosity • university record in implementing successful research programmes and • evidence of university engagement and commercialisation successes with industry in the past.	25

3. Industry impact	The applicant demonstrates its commitment to, and understanding of its research programme industry impact: • evidence of industry support and commercial benefit for the research programme • evidence of industry/university start-up opportunities • evidence for how industry can and will engage with the university and academic pre and/or post programme implementation and • evidence of existing/potential named partnerships and relationship level with industry for specific research endeavours.	15
4. Excellence and benefit for the university	The applicant demonstrates on how the entrepreneurial academic will build excellence and benefit for the university: • stronger international links with academic researchers • stronger national links across entrepreneurial sector – start up eco system and industry • exposure for post-graduate and under-graduate students engaged in research/entrepreneurial courses • driving entrepreneurial culture change within university, increasing outward perspective and value of integrating with industry and • increased faculty performance and higher international rankings.	15
5. Management and implementation	The applicant demonstrates the feasibility of its proposed entrepreneurial university, the capability, experience, skills and organisational capacity to support an entrepreneurial academic, including but not limited to: • strength of planned governance and management • robust implementation and recruitment plan, including support and ecosystem for the proposed entrepreneurial academic and • robust framework to evaluate programme performance.	15
PART B		
6. Estimated costs and revenue	Following its assessment against the five qualitative criteria, the EAP will compare the proposed funding request, its basis of calculation and other value added aspects of the application to determine which combination of funding and qualitative score represents the best value for money for the Entrepreneurial Universities: • the pricing details will be assessed but not given a weighting and • the TEC will identify and fund the entrepreneurial academics which demonstrate the best value for money.	–
Total		100

11. Probity Assurance and Auditor

The TEC has appointed an independent Probity Auditor to provide assurance for the procurement process as follows:

The Probity Auditor is Martin Richardson, Director Audit Services, Audit New Zealand, phone 0508 283 4869. Alternatively, email Martin.Richardson@auditnz.govt.nz.

The Probity Auditor is neither a member of the TEC Board nor an employee of the TEC. The Probity Auditor is not a member of the EAP. An applicant concerned about any procedural issue has the right to contact the Probity Auditor and request a review of the issue. The issue will be dealt with by the Probity Auditor as they deem appropriate.

The TEC is committed to ensuring that all applicants are treated fairly and equally during the evaluation process. There are internal checks in place to ensure a fair, robust and balanced assessment is made in terms of final recommendations for funding.

12. Conditions of the application process

12.1 Canvassing

Applicants may not canvass any of the TEC's Board members, employees, contractors, consultants or anyone who has a direct working relationship with the TEC.

Any applicant found to be canvassing or to have canvassed any of the TEC's Board members, employees, contractors, consultants or anyone who has a direct working relationship with TEC staff regarding this application process, may have its application disqualified from consideration.

12.2 Collusion

Applicants may not prepare their application in consultation, communication, contract, arrangement or understanding with any competitor applicant regarding the calculation of prices, the intention or decision to submit (or not submit) an application, the quality, volume, specifications or delivery particulars of the proposed provision, other than:

- where certain joint venture arrangements exist between the applicant and a competitor, and
- where the communication with that competitor is limited to the information required to facilitate those particular joint arrangements.

In such a situation, applicants will agree to fully disclose to the TEC the full nature and extent of any agreements with competitors, if requested by TEC. Any applicant found to be colluding with a competitor applicant as described above, may have its application disqualified from consideration.

12.3 Rights reserved

TEC reserves the right to:

- amend, suspend or cancel (in part or in whole) the Entrepreneurial Universities funding initiative and application process
- allocate all or part of the pool of Entrepreneurial Universities funding available for the competitive process as TEC considers fit
- consider or not consider any application that does not comply with the requirements of the process
- reject all or any applications and not accept the lowest price application
- not consider an application if any information provided in the application is erroneous or in any way incorrect
- negotiate with individual applicants on their proposed provision, EFTS volumes and prices
- contact applicants for clarification or further information in respect of their application, and to seek and consider information from TEC's own records and other agencies, for example, NZQA
- validate any information provided in the application form with its own information, and
- contact or not contact applicants in respect of missing or inadequate information in their application forms.

In exercising any of its reserved rights the TEC will ensure that all applicants' responses are treated fairly.

12.4 No binding legal relations

By submitting an application, the applicant acknowledges that neither the application, nor the application process, creates a process contract or any legal relationship between the TEC and the applicant except in respect of:

- the conditions of the application process set out in section 3; and
- the applicant's statements, representations, and/or warranties in its application.

12.5 Reliance on information

It is the applicant's responsibility to ensure that its application is free from errors. By submitting an application, the applicant warrants to the TEC that the information contained in its application is true, accurate and complete as at the date on which it is submitted, and may be relied upon by the TEC in its selection of successful applicant(s). The applicant acknowledges that the TEC will rely on the above warranty and undertaking when evaluating its application.

12.6 Confidentiality

For the duration of the application process, to the date of the announcement of all successful applicants, or the end of the application process, the applicant agrees to keep any information (other than this document, application forms, and information publically available on the TEC website) provided to the applicant by the TEC or its representatives that relates to this application process strictly confidential and not make any public statement to any third party in relation to any aspect of this document, the application form, the application process, or the award of any funding, without the TEC's prior written consent.

Notwithstanding the above, the applicant may disclose information relating to this application process to any person who is directly involved in the process on its behalf, but only for the purpose of participating in the process.

12.7 Publication of applicant information

In submitting an application, the applicant agrees to the publication of the applicant's name, and the total amount of funding allocated through this competitive process.

The TEC is subject to the Official Information Act 1982 and may be required to release information supplied by applicants in accordance with that Act, or as otherwise required by law. If an applicant considers that there are grounds under the Act for withholding any information in the application, then these grounds need to be specified in the application.

12.8 Proprietary information

All intellectual property rights in this document and the application form remain the property of the TEC or its licensors.

All documents forming the applicant's application will, when delivered to the TEC, become the property of the TEC.

Ownership of intellectual property rights in the application remain the property of the applicant or its licensors. However, the applicant grants to the TEC a non-exclusive, non-transferable perpetual licence to retain, use, copy, and disclose information contained in the application for any purpose related to the application process.

12.9 Applicants debrief

The TEC will offer all unsuccessful applicants the opportunity to debrief following the allocation of the Entrepreneurial Universities initiative funding via the competitive process. Debriefs may be provided by email, phone or in person.

13. Glossary of Terms

In relation to this Request for Funding Applications the following words and expressions have the meanings described below.

Term	Meaning
Applicant	The Lead Tertiary Education Organisation that applies for EU initiative funding
Assessment Framework	The framework which sets out a high level description of the components of each quality dimension and their weightings against which each application will be assessed
Assessment Tool	An online tool primarily designed to provide robust and reliable information on the reading, writing, numeracy and vocabulary skills. Also known as the Literacy and Numeracy for Adults Assessment Tool.
EDUMIS	A provider code, which is usually 4 digit number, used by the Ministry of Education to identify an education provider
EU or initiative	Entrepreneurial University
EAP	Expert Advisory Panel
Funding Confirmation	The documentation provided by TEC to a successful Applicant setting out the funding approved and conditions of funding
Plan	A plan in relation to which funding approval has been given, as defined in section 159 of the Education Act (unless exempt)
Probity Auditor	The person or organisation, as identified in section 11, who is appointed to audit, and provide independent assurance of the application process
Review Panel	The panel of people assembled by TEC who will evaluate applications in accordance with the evaluation criteria
TEC	Tertiary Education Commission
Subcontracting arrangements	Subcontracting arrangements are those where a TEO engages others to deliver teaching and learning on its behalf. It does not include individual employment agreements or arrangements where a TEO uses the facilities of another TEO or organisation to deliver its own provision.
TEI	An institution as defined in section 159 of the Education Act 1989 includes universities, institutes of technology and polytechnics (ITPs) and wānanga
TEO	Tertiary Education Organisations defined in section 159B of the Education Act 1989