

Strategic Science Investment Fund
Advanced Energy Technology Platform

Assessment Guidelines

2019



MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT
HĪKINA WHAKATUTUKI

newzealand.govt.nz

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Foreword

Thank you for agreeing to assess Advanced Energy Technology Platform proposals submitted for funding via the Strategic Science Investment Fund.

Investment in the Advanced Energy Technology Platform involves a registration phase followed by full proposals. Informed assessment of these proposals is a critical aspect of our investment process, as it is the basis of our decision on the portfolio of investments.

These guidelines detail what is involved in the assessment of the Advanced Energy Technology Platform proposals and the role that you will play in that process.

We have selected you and other assessors based on your knowledge and experience. You have not been selected as a 'representative' of a particular organisation or sector. The names of all assessors and their affiliated organisations are published on our website.

The experience and expertise that you bring to the investment process is greatly appreciated. Thank you for supporting our science investment processes.



Dr. Prue Williams



GENERAL MANAGER,
Science System Investment and Performance
Ministry of Business, Innovation & Employment



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Introduction

The Ministry of Business, Innovation and Employment (MBIE) wants to ensure New Zealand has sufficient capability in advanced energy sciences to develop transformative research outputs that will contribute to the development of disruptive technologies used both in New Zealand and abroad.

Advanced Energy Technology is technology at the frontier of innovation, with the potential to advance and disrupt global energy markets.

We define advanced energy technology as:

engineering, physical and biological sciences research developing technologies at the frontier of transforming the way we produce, use, manage and store energy.

These technologies will have the potential to radically shift the global energy landscape and develop market opportunities for New Zealand.

The new investment is intended to significantly lift capability in this area, and to support dynamic and world-class energy technology research. It aims to enable New Zealand to strengthen existing, and build new, international research connections to global experts and research groups to leverage knowledge and solutions to increase the impact and benefit for New Zealand. We want to ensure New Zealand is well connected and continues to grow its international research linkages in this sector.

The Government is looking to invest in up to four programmes, each inspired by technological challenges at the frontier of developing new advanced energy technologies. The programmes will focus on areas where New Zealand can develop a competitive international advantage and grow world leading research capability in niche areas of energy technology that address global challenges.

The Platform will focus on research in the engineering, physical and biological sciences, and will prioritise transformative, creative and potentially disruptive research to help define future global energy opportunities and accelerate technology towards commercialisation.

You are critical in helping us identify the research programme proposals that have the greatest potential to meet the investment goals of the Advanced Energy Technology Platform. Your assessment will help to inform decisions on which proposals are successful and make up the portfolio of investments.

These guidelines detail the assessment process and the key roles and responsibilities for Advanced Energy Technology Platform proposals only.

Unless specified, these guidelines apply to all assessment roles: Assessors, Lead Assessors, and Vision Mātauranga experts.

We recommend you read this document in conjunction with the Advanced Energy Technology Platform Call for Proposals 2019 and other relevant information on our [Advanced Energy Technology Platform webpages](#).

If you have any questions, feel free to contact us.

Email Assessment queries: ssif.investment@mbie.govt.nz
 Portal queries: imssupport@mbie.govt.nz

Phone 0800 693 778 (Monday to Friday, 8:30am to 4:30pm)

Assessment Roles and Responsibilities

The following outlines the key roles and responsibilities involved in the assessment of the Advanced Energy Technology Platform proposals.

Assessor

Your role as an assessor is to assess the proposals and contribute to the Panel discussion. Your key responsibilities include:

- > Participating in Assessor training.
- > Declaring any conflicts of interest and adhering to MBIE's confidentiality and privacy policies.
- > Reading and assessing assigned proposals, allocating assessment scores that reflect your assessments (*using a 7-point scoring system against the assessment criteria*) and then recording your scores and supporting comments in MBIE's Investment Management System (IMS) – a secure online portal.
- > If invited, attending the Assessment Panel meeting, where:
 - the preliminary scores and comments are reviewed
 - proposals are scored and ranked, and
 - advice on the assessment results and the potential mix of programmes which could form the strategic portfolio for the Advanced Energy Technology Platform investment is recorded by MBIE.

The Assessment Panel does not have delegated authority to make investment decisions.

Lead Assessor

In addition to the responsibilities of an Assessor, you will be asked to be a Lead Assessor for a selection of proposals. During the Assessment Panel meeting, you then introduce and lead the discussion on those proposals.

Vision Mātauranga Expert

Vision Mātauranga expert responsibilities include:

- > Participating in Assessor training.
- > Declaring any conflicts of interest and adhering to MBIE's confidentiality and privacy policies.
- > Reading and assessing assigned proposals on how well proposals address the Vision Mātauranga policy and recording your assessment comments in MBIE's Investment Management System (IMS) – a secure online portal.
- > Attending the Vision Mātauranga experts meeting to discuss your comments.
- > Attending Assessment Panel meeting (Day 1 only) to discuss your comments and provide expert Vision Mātauranga advice to the Assessors.

Assessment Panel Chair

MBIE will chair the Vision Mātauranga Expert meeting and the Assessment Panel meeting as a non-voting member. The role of the Chair is to:

- > Prioritise the discussion of the Panel meeting taking into account the advice from the Assessment Panel and the preliminary ranked assessment scores.
- > Identify and take appropriate action over conflicts of interest.
- > Allow time for informed discussion and equitable decision-making and mediate views if required.
- > Ensure that the meetings:
 - follow the scoring system and provide sound advice, and
 - develop appropriate commentary on the proposals to inform funding recommendations and to enable appropriate feedback to applicants.
- > Provide a Panel Meeting Report including funding recommendations.

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Confidentiality and Privacy

To ensure confidentiality, you must:

- > Ensure the safekeeping of all proposals and related documents (*e.g., workbooks, notes, etc.*).
- > Destroy any remaining documentation or return it to MBIE at the end of the assessment process.
- > Not correspond with or discuss the contents or assessment of any proposal with the applicant or any other party. If an applicant contacts you about a proposal:
 - direct them to us (ssif.investment@mbie.govt.nz), and
 - email us with the details of your contact.
- > Not use any confidential information for any purpose other than assessment.

You must agree to adhere to MBIE's confidentiality and privacy policies which apply to all personal information collected by MBIE in the IMS portal before you can view your assigned proposals.

Official Information Act 1982

Proposals and their assessments are confidential. MBIE is subject to the Official Information Act 1982 therefore information relating to an assessment may be released by MBIE if requested under the Act.

Conflicts of Interest

MBIE follows a rigorous process to maintain the credibility of investment decisions and to assure applicants that their proposal is fairly and reasonably appraised.

Before starting to assess, you must check your list of assigned proposals for any conflicts of interest and either accept or decline the assignments as appropriate (*see page 17 for details on how to do this*).

What is Considered a Conflict of Interest?

Conflicts of interest may occur on two different levels:

- > A **direct** conflict of interest; where an assessor is:
 - directly involved with a proposal (*as a participant, manager, mentor, or partner*) or has a close personal relationship with the applicant, for example, family members, or
 - a collaborator or in some other way involved with an applicant's proposal.
- > An **indirect** conflict of interest; where an assessor:
 - is employed by an organisation involved in a proposal but is not part of the applicant's proposal.
 - has a personal and/or professional relationship with one of the applicants, for example, an acquaintance.
 - is assessing a proposal under discussion that may compete with their business interests.

If you are from a University or Crown Research Institute or other large organisation, you may assist in the assessment of a proposal from that institution providing you have no direct or limited indirect interest in the proposal. If in doubt, declare and discuss with us.

Reporting Identified Conflicts

All conflicts of interest must be declared to MBIE.

If you identify a direct conflict with a proposal that has been assigned to you, you must decline the assignment. If you identify an indirect conflict, email MBIE at ssif.investment@mbie.govt.nz with the details for further discussion before accepting or declining the assignment.

Handling Conflicts of Interest During the Assessment Panel Meeting

If there is a **direct conflict** of interest with a proposal about to be discussed during the Panel meeting, declare the conflict to the Assessment Panel Chair. You will be required to leave the room during the ensuing assessment discussion.

The actions required for a declared **indirect conflict** of interest is the discretion of the Chair; this could be to:

- > leave the room
- > stay but remain silent unless asked to respond to a direct question
- > contribute to the assessment of the proposal.

Should the Chair declare a conflict of interest with a proposal, a Deputy Chair will be appointed for the ensuing assessment discussion.

All conflict of interest declarations and resulting assessor actions during the Panel meeting will be recorded.

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The Assessment Process

The key dates and an overview of the assessment process follows.

Key Dates

Assessor training	Early March 2020
Proposals assigned	18 March 2020
Assessment recorded in the IMS portal	By 12 noon, 15 April 2020
Vision Mātauranga Expert meeting	28 April 2020
Assessment Panel meeting	29 – 30 April 2020 <i>Vision Mātauranga experts attend Day 1 only.</i>
MBIE decisions on proposals announced	June – July 2020

All dates are New Zealand Standard Time

Time Commitment

We envisage your involvement in the assessment process to be as follows.

UP TO:	TO:
Half a day	Read through these guidelines and background documents, and participate in assessor training via teleconference.
2-3 hours per proposal	Read your assigned proposals, assign scores and enter those scores with comment in the IMS portal. Vision Mātauranga experts are only required to enter comments.
2 days	<i>For Assessors and Lead Assessors:</i> Attend 2 day Assessment Panel meeting in Wellington, New Zealand. <i>For Vision Mātauranga experts:</i> Attend a Vision Mātauranga meeting and Day 1 of the Assessment Panel (both in Wellington, New Zealand).

Assessor Training

Prior to performing assessments, you are required to participate in a short online training session. The purpose of this session is to familiarise you with the:

- > Assessment tools and resources that are available
- > Content of the Advanced Energy Technology Platform Call for Proposals 2019 including the structure of the application form, the assessment criteria, and the scoring guide.

Information about this training will be sent to you separately.

Allocation of Proposals

Proposals that meet the eligibility criteria are assigned to you in part by aligning the proposal with your expertise, availability and absence of any potential conflict of interest. Together with the number of proposals submitted, this alignment determines the type and number of proposals that are assigned to an assessor. MBIE will assign a lead assessor for each proposal, who will introduce and lead the discussion on the proposal.

On **18 March 2020**, MBIE will confirm your role and inform you of your assigned proposals by email.

You use MBIE's IMS portal to:

1. Log on to view your assigned proposals, identify and notify MBIE of any conflicts of interest and then accept or decline your assigned proposals accordingly.
2. Open (*download and/or print*) all assigned, accepted proposals.

Refer to page 16 for further instruction on the IMS portal.

How and When Assessments are Recorded

Your assessment scores and comments are recorded in the IMS portal. This must occur on or before **12 noon, 15 April 2020**.

Vision Mātauranga experts are only required to enter comments.

Vision Mātauranga Expert Meeting

Vision Mātauranga experts meet on **28 April 2020** to:

- > discuss their preliminary assessment comments,
- > formulate consensus comments on how well each proposal has addressed Vision Mātauranga, and
- > develop expert advice on how proposals could strengthen Vision Mātauranga, where relevant.

The Vision Mātauranga expert's discussion and moderation may take into account any additional information gathered during the assessment process.

MBIE records the assessment, discussion and consensus comments.

The Vision Mātauranga experts do not have delegated authority to make investment decisions.

Further details on this meeting will be sent to the Vision Mātauranga experts closer to the time.

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Assessment Panel Meeting

The Assessment Panel meeting is held over 2 days in Wellington; immediately after the Vision Mātauranga Expert meeting (*see page 6 for key dates*). Vision Mātauranga experts attend Day 1 only. The purpose of this meeting is to:

- > discuss the preliminary assessment scores and supporting comments,
- > score and rank the proposals, and
- > advise on the assessment results and the potential mix of programmes which could form the strategic portfolio for the Advanced Energy Technology Platform investment.

The Panel's discussion and moderation may take into account any additional information gathered during the assessment process.

MBIE records the discussion, the consensus scores and the Panel's assessment.

The Assessment Panel does not have delegated authority to make investment decisions.

Further details on this meeting will be sent to you closer to the time.

Shortlist Recommendations and Decisions

The Assessment Panel Chair will provide MBIE with a report recommending which proposals should make up the successful portfolio for the Advanced Energy Technology Platform. The assessment will include advice on the mix of proposals to form the strategic portfolio.

The final decision on the shortlisted applicants will be made by the Deputy Chief Executive, of the Labour, Science and Enterprise Group, MBIE.

Decisions will be publicly announced in **June – July 2020**. MBIE will provide applicants with general feedback based on the Assessment Panel's comments about the overall quality of proposals.

Performing Assessments

Use the following procedure to assess Advanced Energy Technology Platform proposals.

The Assessment Steps

1. **Read and understand the assessment criteria, the Government's investment goals for the Advanced Energy Technology Platform and the Advanced Energy Technology Platform Call for Proposals 2019.** See our [Advanced Energy Technology Platform webpages](#).

The assessment criteria includes the scoring guide, and notes for each assessment criterion, which provides a common interpretation to clarify and help ensure consistency.

2. **Accept (or decline) assigned proposals.**

Accept your assigned proposals or decline if you deem a conflict of interest exists (*see page 17 for details*).

3. **Read assigned proposals** (*see page 18 for details*).

4. **Perform and record your assessment.**

ASSESSORS	VISION MĀTAURANGA EXPERTS
<p>Independently score each proposal using the assessment criteria (<i>see page 12</i>).</p> <p>With the exception of that related to Vision Mātauranga, for each criterion, select a score ranging from 1 (<i>low quality</i>) to 7 (<i>high quality</i>) from the scoring grid that best matches your assessment.</p> <p>Record your assessment scores in the IMS portal (<i>see page 18</i>) and comment on why you selected those scores. Your comments should also identify the specific reasons for a deficiency, particularly if you are recording a score of 4 or less.</p>	<p>Independently review each proposal against Vision Mātauranga and the assessment criteria (<i>see page 12</i>) as it relates to Vision Mātauranga.</p> <p>Comment on how well Vision Mātauranga / Mātauranga Māori has been considered in each criterion and select an overall rating (Highly relevant, Moderately relevant or Not relevant) that best matches your assessment.</p> <p>You are not required to score.</p> <p>Record your review ratings and commentary in the IMS portal (<i>see page 18</i>).</p> <p>Where proposals indicate Vision Mātauranga is not relevant, provide an assessment if this is accurate. If there is divergence between your opinion on the relevance of Vision Mātauranga and the applicant's, you must give reasons for this. If not relevant, and this is consistent with the applicant's view, the only comment you need to make is "<i>Vision Mātauranga is not relevant to this proposal</i>".</p>

When assessing:

- > Only assess the information presented in the proposals. Applicants are obliged to present the relevant information, therefore if a proposal has obvious gaps reflect this in your score and detail the significant issues in your comments.
- > Evaluate the proposal as a whole before finalising your assessment.
- > Ensure comments are accurate, professional, honest, and correlate to the score and description associated with the scoring guide.
- > Do not include names and be mindful that:
 - if requested, comments may be made available under the Official Information Act.
 - word limits for comments apply; these clearly display top left of each Comment field in the IMS portal.
- > Exercise your knowledge, judgement and expertise to reach clear and soundly based assessments that are fair, objective and evidence-based.
- > Be wary of 'drift' in your scoring. It is common for scoring to change as assessors gain experience with the assessment process, you may want to review your scores and comments before finalising.

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5. *[Vision Mātauranga experts only]* **Attend the Vision Mātauranga Expert meeting.**

The Vision Mātauranga experts meet to discuss their Vision Mātauranga advice and commentary. A full agenda will be sent to closer to the date.

6. **If invited, attend the 2 day Assessment Panel meeting.**

The Assessment Panel meets to discuss the scores, feedback and Vision Mātauranga advice and reaches a final set of funding recommendations for MBIE.

Vision Mātauranga experts attend Day 1 only. A full agenda will be sent to closer to the date.

7. **Destroy (or return to MBIE) all proposals and supporting documentation when the assessment process is complete.**

The Government's Investment Goals for the Advanced Energy Technology Platform

The Government wants to advance the development of a dynamic and world class advanced energy technology research and development capability for New Zealand. Capability will be built through a strategic portfolio of up to four advanced energy technology research programmes that address future challenges for the energy sector.

The Government's investment goals for the Advanced Energy Technology Platform are to:

- > **Deliver excellence:** Invest in excellent, transformative and novel engineering, physical, and biological sciences research that builds on New Zealand's strengths at the frontier of innovation in advanced energy technology research.
- > **Grow capability:** Grow the scale, depth, excellence and impact of New Zealand's advanced energy technology research community. The programmes will have strong leadership and multidisciplinary teams. They will attract top international researchers and support emerging researchers.
- > **Deliver additionality:** Provide fresh and ambitious thinking, new people, new collaborations, new and expanded research, and new impacts that would not have happened without this investment. Investments should create new opportunities for New Zealand to contribute to national and global efforts to reduce energy related greenhouse gas emissions.
- > **Leverage connectivity:** Foster and grow international and national collaborations among energy technology researchers, and between researchers and end users. Collaborations should support research excellence, grow energy technology capabilities and operate in areas of international relevance.
- > **Enable future-focussed research:** Provide stable longer-term funding to support future-focussed research to deliver a pipeline of new ideas and opportunities which encourage the private sector to fund more industry-led research.
- > Give effect to the **Vision Mātauranga** policy.

The Research Focus of the Advanced Energy Technology Platform Programmes

The research programmes we are seeking to fund should:

- > Focus on a major research challenge at the leading edge of development of advanced energy technology.
- > Support a variety of activities focussing on a common research challenge.
- > Contain challenge-inspired research.

Challenge-inspired: the research programmes will address problems faced globally and/or in New Zealand at the frontier of energy technology development and expand the potential for New Zealand to benefit from technology advances

- > Focus on transformative outcomes, which may be high-risk/high-return research, embracing new techniques for tomorrow's energy technology needs.
- > Demonstrate the potential for research outcomes to provide a pipeline of new ideas and opportunities for the private sector to fund more commercially orientated research.
- > Assessors will consider whether the proposed research programme meets the Government's investment goals for the Advanced Energy Technology Platform.

Assessment Criteria and Scoring Guide

ADVANCED ENERGY TECHNOLOGY PLATFORM RESEARCH PROGRAMME		SCORING GUIDE						
ASSESSMENT CRITERIA	Weighting	Score & Keywords						
		1 <i>(Low quality)</i> Missing Irrelevant No potential No credibility	2 Minimal Low relevance Little potential Little credibility	3 Some Partially relevant Some potential Some credibility	4 Most Generally relevant General potential Generally credible	5 Substantial Relevant Good potential Credible	6 Comprehensive Very relevant Very good potential Very credible	7 <i>(High quality)</i> Complete Highly relevant Excellent potential Highly credible
<p>EXCELLENCE</p> <p>The research programme will deliver excellence by delivering leading internationally connected, cutting edge advanced energy technology research for New Zealand</p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> > deliver against the Government's investment goals and vision for the Advanced Energy Technology Platform, > create additionality, provide ambitious fresh thinking, new people, new and expanded research, new collaborations and impacts that would not happen without this investment, > demonstrate how the proposed research will deliver excellent engineering, physical and/or biological science and outcomes to support New Zealand's contribution to global efforts to develop advanced energy technology and how the method and high level approach (methodology) will enable the delivery of the research aims, > demonstrate the skills and knowledge the team has to deliver the proposed activities, including leadership expertise and experience, relevant collaborations, and > develop new innovative and novel approaches in energy technology. 	30%	Content is missing, irrelevant or has no potential to deliver against the Government's Investment Goals for ambitious, world leading, innovative, excellent advanced energy technology research.	Many aspects are missing and proposed research has low relevance to the Government's Investment goals. Little potential to deliver ambitious, world leading, innovative, excellent advanced energy technology research. The research plan lacks credibility with many gaps or deficiencies.	Some aspects are adequately met, but with gaps or deficiencies. Demonstrates modest relevance to the Government's Investment goals Limited potential to deliver ambitious, world leading, innovative, excellent advanced energy technology research. The research plan shows some potential, but there are gaps or deficiencies.	All aspects are met to a generally adequate level. Aligns to Government's Investment goals. There is some potential to deliver ambitious, world leading, innovative, excellent advanced energy technology research. The research plan is credible with no major gaps or discrepancies.	All aspects are substantially met; with some strongly met. Demonstrates good alignment with Government's Investment goals. Likely to deliver ambitious, world leading, innovative, excellent advanced energy technology research. The research plan is appropriate and credible.	All aspects are strongly met; with some met at an excellent level. Strong alignment with Government's Investment goals. Confident that the programme will deliver ambitious, world leading, innovative excellent advanced energy technology research. The research plan is comprehensive and very credible.	All aspects are met in a highly innovative, relevant, credible and exemplary manner. Excellent alignment with Government's Investment goals. Highly confident that the programme will deliver ambitious, world leading, innovative, excellent advanced energy technology research. The research plan is complete and highly credible.

ADVANCED ENERGY TECHNOLOGY PLATFORM RESEARCH PROGRAMME								
ASSESSMENT CRITERIA	SCORING GUIDE							
	Weighting	Score & Keywords	1 <i>(Low quality)</i> Missing Irrelevant No potential No credibility	2 Minimal Low relevance Little potential Little credibility	3 Some Partially relevant Some potential Some credibility	4 Most Generally relevant General potential Generally credible	5 Substantial Relevant Good potential Credible	6 Comprehensive Very relevant Very good potential Very credible
<p>IMPACT</p> <p>The research programme will create direct and indirect benefits for New Zealand by generating opportunities in emerging energy technologies with international relevance</p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> > deliver future-focused engineering, physical and/or biological sciences research with the potential to create or facilitate disruptive technologies for New Zealand and the global market, > create new opportunities for New Zealand to contribute to national and global efforts to reduce energy-related greenhouse gas emissions, > develop advanced and innovative energy technology approaches that can help solve key challenges for New Zealand, and international markets and users, > support a pipeline of research so that new ideas can be developed and applied to solve problems, and > where relevant, address the themes of the Vision Mātauranga Policy. 	20%	<p>Content is missing, irrelevant or lacks the potential or credibility to create benefits for New Zealand.</p>	<p>Many aspects are missing, have low relevance, or have little potential to create benefits for New Zealand.</p> <p>The scale of potential benefits from the proposed research lacks credibility.</p>	<p>Most aspects are adequately met, but with some gaps or deficiencies.</p> <p>There is limited potential to develop a pipeline of research that will create new opportunities for New Zealand and help solve key energy challenges.</p> <p>The scale of potential benefits from the proposed research has some credibility.</p>	<p>Most aspects are met to a generally adequate level.</p> <p>There is some potential to develop a pipeline of research that will create new opportunities for New Zealand and help solve key energy challenges.</p> <p>The scale of potential benefits from the proposed research are generally credible.</p>	<p>All aspects are met; with some strongly met.</p> <p>There is good potential to develop a pipeline of research that will create new opportunities for New Zealand and help solve key energy challenges.</p> <p>The scale of potential benefits from the proposed research is credible.</p>	<p>All aspects are strongly met; with some met at an excellent level.</p> <p>There is strong potential to develop a pipeline of research that will create new opportunities for New Zealand and help solve key energy challenges.</p> <p>The scale of potential benefits from the proposed research is very credible.</p>	<p>All aspects are met in a highly innovative, relevant, credible and exemplary manner in terms of the scale and likelihood of potential benefits to New Zealand.</p>

ADVANCED ENERGY TECHNOLOGY PLATFORM RESEARCH PROGRAMME								
ASSESSMENT CRITERIA	SCORING GUIDE							
	Weighting	Score & Keywords	1 (Low quality) Missing Irrelevant No potential No credibility	2 Minimal Low relevance Little potential Little credibility	3 Some Partially relevant Some potential Some credibility	4 Most Generally relevant General potential Generally credible	5 Substantial Relevant Good potential Credible	6 Comprehensive Very relevant Very good potential Very credible
<p>INVESTING IN PEOPLE</p> <p>The research programme will grow the scale and depth of advanced energy technology research capability in New Zealand</p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> > demonstrate researchers, teams and institutions are well placed and sufficiently skilled to do the research and to grow future capability, with reputations for high-quality work, and who are well linked internationally and domestically, > leverage collaboration, attract top researchers to New Zealand and support New Zealand emerging researchers, provide support for PhDs and post-doctorates and where possible encourage them to gain international experience, > develop deep excellence and world class science leadership, and > where relevant, develop Māori capability in advanced energy technology. 	30%	Content is missing, irrelevant or lacks credibility or potential.	<p>Many aspects are missing, have low relevance, or have little potential.</p> <p>The pathway to developing excellent world class capability and science leadership has little potential. The means of maximising opportunities and effectively managing risks lacks credibility.</p>	<p>Most aspects are adequately met, but with some gaps or deficiencies.</p> <p>The pathway to developing excellent world class capability and science leadership has some potential. The means of maximising opportunities and effectively managing risks has some credibility.</p>	<p>All aspects are met to a generally adequate level.</p> <p>The pathway to developing excellent world class capability and science leadership has potential. The means of maximising opportunities and effectively managing risks is generally credible.</p>	<p>All aspects are adequately met; with some strongly met.</p> <p>The pathway to developing excellent world class capability and science leadership shows good potential. The means of maximising opportunities and effectively managing risks is credible.</p>	<p>All aspects are strongly met; with some met at an excellent level.</p> <p>The pathway to developing excellent world class capability and science leadership shows very good potential, and the means of maximising opportunities and effectively managing risks is very credible.</p>	<p>All aspects are met in a highly innovative, relevant, credible and exemplary manner in terms of delivering expected benefits and growth of Advanced Energy Technology capability.</p> <p>The pathway to developing excellent world class capability and science leadership is compelling and the means of maximising opportunities and effectively managing risks is highly credible.</p>

ADVANCED ENERGY TECHNOLOGY PLATFORM RESEARCH PROGRAMME								
ASSESSMENT CRITERIA	SCORING GUIDE							
	Weighting	Score & Keywords	1 (Low quality) Missing Irrelevant No potential No credibility	2 Minimal Low relevance Little potential Little credibility	3 Some Partially relevant Some potential Some credibility	4 Most Generally relevant General potential Generally credible	5 Substantial Relevant Good potential Credible	6 Comprehensive Very relevant Very good potential Very credible
<p>DOMESTIC AND INTERNATIONAL COLLABORATION</p> <p>The research programme will have international relevance and significance, and will grow domestic and international science connections and collaborations</p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> > demonstrate relevance of proposed research to international efforts in the advancement of clean and/or advanced energy technology, > grow international and national collaborations, and > develop enduring and strategic collaborations with end users, draw on a range of industry, science and government expertise to enhance the relevance of the research. 	20%	Content is missing, irrelevant or lacks credibility or potential.	<p>Many aspects are missing, have low relevance, or have little potential.</p> <p>The pathway for delivering benefits through connectivity is missing and the proposed organisational arrangements show little potential for building enduring strategic collaborations.</p> <p>Relevance of proposed research to international efforts is not demonstrated or is not credible.</p>	<p>Most aspects are adequately met, but with some gaps or deficiencies.</p> <p>The pathway for delivering benefits through connectivity has some credibility but the proposed organisational arrangements show little potential for building enduring strategic collaborations.</p> <p>Relevance of proposed research to international efforts is only partially demonstrated or credible.</p>	<p>All aspects are met to a generally adequate level.</p> <p>The pathway for delivering benefits through connectivity is generally credible and the proposed organisational arrangements show potential for building enduring strategic collaborations.</p> <p>Relevance of proposed research to international efforts is mostly demonstrated and credible.</p>	<p>All aspects are adequately met; with some strongly met.</p> <p>The pathway for delivering benefits through connectivity is credible and the proposed organisational arrangements show good potential for building enduring strategic collaborations.</p> <p>Relevance of proposed research to international efforts is substantially demonstrated and credible.</p>	<p>All aspects are strongly met; with some met at an excellent level.</p> <p>The pathway for delivering benefits through connectivity is very credible and the proposed organisational arrangements show very good potential for building enduring strategic collaborations.</p> <p>Relevance of proposed research to international efforts is comprehensively demonstrated and very credible.</p>	<p>All aspects are met in a highly innovative, relevant, credible and exemplary manner in terms of delivering expected benefits via domestic and international collaboration.</p> <p>The pathway for delivering benefits through connectivity is highly credible and the proposed organisational arrangements show excellent potential for building enduring strategic collaborations.</p> <p>Relevance of proposed research to international efforts is complete and highly credible.</p>

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Viewing Assigned Proposals and Recording Assessments

This section details how to access the proposals assigned to you for assessment and how to record your assessment. Both of these actions are performed in MBIE's IMS portal.

Accessing the IMS Portal

To access the portal you require:

- > Chrome or Firefox
- > Your MBIE IMS portal Username and Password.

For all IMS portal queries, e-mail or call:

Email imssupport@mbie.govt.nz
Phone 0800 693 778
 (Monday to Friday, 8:30am to 4:30pm)

■ To log in to the IMS portal:

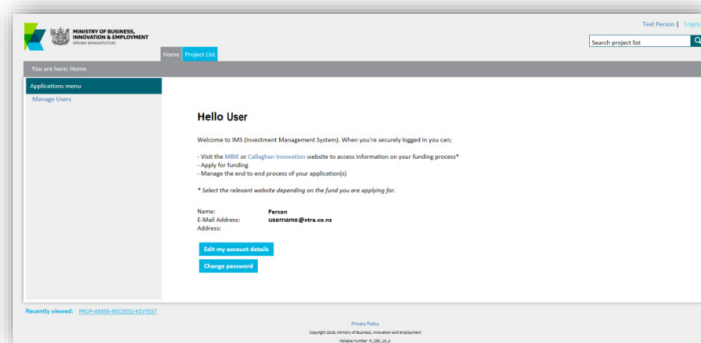
For first time assessors:

1. You will receive an email containing your portal username and a temporary password. Click the **portal** link in this email. The IMS portal's access agreement displays. This agreement details the terms and conditions governing the use of the portal.

Your temporary password will expire in 72 hours and can only be used once. The access agreement will only appear once, the first time you log in.

2. Read and accept this agreement. Once accepted, an **Edit password** screen displays.
3. Following the on screen prompts, enter your temporary password and then enter a new permanent one.
4. Click the **Save Changes** button. The portal's **Home** screen displays.

Five or more failed log in attempts will automatically lock you out of the system. If this occurs, contact the Investment Operations Team and ask for your account to be unlocked.



The Home page of the MBIE IMS portal

For existing assessors:

1. Click the **MBIE IMS Portal** link (ims.msi.govt.nz/).
2. Type your Username and Password.
3. Click the **Login Securely** button. The portal's **Home** screen displays.

■ To log out of the portal:

1. Do one of the following:
 - Click the **Logout** hyperlink (located top right of the **Home** screen).
 - Click the **UN** (where **UN** is your initials) located top right of assessment **Scoring** page.

Accepting/Declining Assigned Proposals

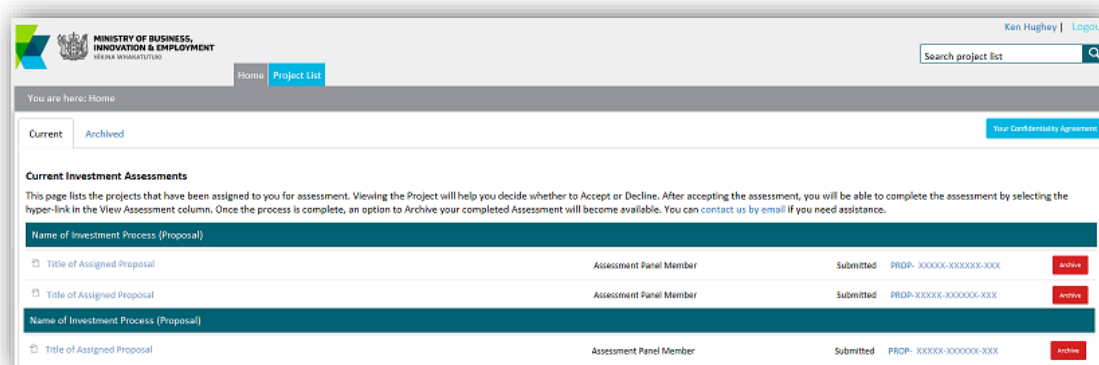
Proposals will be assigned to you for preliminary assessment on or by **18 March 2020**. Additional proposals may be assigned to you after this period as a result of adjustments required due to any declared conflict of interests.

■ To accept (or decline) an assignment:

1. On the **Home** tab, click the **Investment Assessment** link > **Current** tab.
2. Read and accept the confidentiality agreement. This agreement details the terms and conditions governing the assessment process.

This agreement will only display to first time assessors when they first access their list of assignments. You can revisit this agreement at any stage by clicking the **Your Confidentiality Agreement** button located top right of the **Investment Assessment** link > **Current** tab.

Once accepted, the list of all proposals assigned to you displays.



3. Scroll down the list to see your assignments.
The proposals assigned to you are listed under the **View Project** column, grouped by investment process. If you have performed assessments in the past, your new assignments will be at the top of the list under the heading **SSIF Advanced Energy Technology Platform**.
4. For the first proposal listed, click the link under **View Project**. A summary of the proposal opens in a new browser tab.
5. After reading the proposal's summary, if:
 - You deem a **direct conflict of interest** exists:
 1. Select the browser tab displaying the IMS portal.
 2. Click the **Decline** button adjacent to the proposal.
 3. In the resulting dialog, enter the reason and click the **Save** button.
The declined proposal is automatically removed from your assigned list.
 4. Close the summary.
 - You deem an **indirect conflict of interest** exists, close the proposal's summary and email us at ssif.investment@mbie.govt.nz to discuss further.
 - There is **no conflict of interest**, close the summary and click the **Accept** button adjacent to the proposal.

The proposal is allocated an **In progress** status.

6. Repeat the above steps for all the proposals in your list.

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Viewing and Printing Assigned Proposals

■ To view and print a proposal:

1. Access the **Home** tab > **Investment Assessment** page > **Current** tab.
2. Click a proposal's **View Project** link. The full proposal (*in PDF form*) displays in a separate browser tab.
3. From here you can view, print and if required download the proposal to enable access without having to be logged into the portal.

The proposal's identification number is prominently displayed in the header of the proposal.

Proposals must be kept confidential. You **must**:

- ensure the safe keeping of all proposals and related documents (*e.g., workbooks and notes, etc.*) during the assessment process.
- destroy all saved/printed proposals (*or return to MBIE*) after the assessment process is completed.

Recording Assessments

Your assessments are due on or before **12 noon, 15 April 2020**.

■ To record your assessments:

1. Access the **Home** tab > **Investment Assessment** page > **Current** tab.
2. Click a proposal's **View Assessment** link. A **Scoring** page opens in a separate browser tab.

The screenshot shows the 'View Assessment' page for a proposal. The page is titled 'Home > Assessments > ASMT-XXXXXX (In progress)'. The left sidebar contains a navigation panel with the following items: 'Project: CONC-XXXX-XXXXXXX-XXX', 'Assessment Panel scores and comments', 'Excellence 1 Score', 'Impact 1', 'Impact 2 Score', 'Vision Matauranga Question 1', and 'Overall assessment comments'. The main content area is divided into two sections: 'Impact 1' and 'Impact 2 Score'. The 'Impact 1' section has a heading 'THE PLATFORM WILL CREATE DIRECT AND INDIRECT BENEFITS FOR NEW ZEALAND BY GENERATING VALUE FOR DATA SCIENCE RESEARCH END-USERS, INCLUDING DATA SCIENCE-BASED INDUSTRIES' and a list of assessment criteria. Below this is a dropdown menu for 'Impact 1 Score' and a text area for 'Impact 1 Comment'. The 'Impact 2 Score' section has a heading 'THE PLATFORM WILL SUCCESSFULLY DELIVER THE EXPECTED BENEFITS OF THE INVESTMENT.' and a list of assessment criteria. Below this is a dropdown menu for 'Impact 2 Score'.

Illustrative example

You can view and print the proposal by clicking the printer icon next to the proposal's number at the top left of the **Navigation** panel.

You **must**:

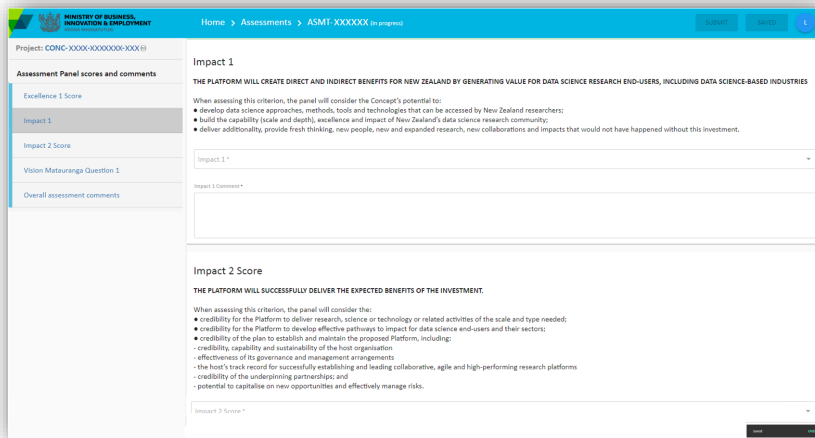
- ensure the safe keeping of all proposals and related documents, *e.g., workbooks, notes, etc.*
- destroy all saved/printed proposals once the assessment process is complete

3. Enter your assessment scores and comments (for your role; see below) into the relevant fields.

ASSESSORS	VISION MĀTAURANGA EXPERTS
<p>Enter your assessment scores and commentary into the relevant fields. Your comments should also identify the specific reasons for a deficiency, particularly if you are recording a score of 4 or less.</p>	<p>Enter your assessment commentary into the relevant fields. You are not required to score.</p> <p>Where proposals indicate Vision Mātauranga is not relevant, provide an assessment if this is accurate. If there is divergence between your opinion on the relevance of Vision Mātauranga and the applicant's, you must give reasons for this. If not relevant, and this is consistent with the applicant's view, the only comment you need to make is "Vision Mātauranga is not relevant to this proposal".</p>

The areas you are required to respond to are detailed in the **Navigation** panel on the left hand side of the screen. You can either scroll down the page to view and enter all fields or click on a link in the panel for direct access.

See page 9 for full details on how to perform your assessment.



Your entries are automatically saved at regular intervals. A **Save** and **Undo** panel displays (bottom right of the screen) every time an automatic save occurs at which time you are given the opportunity to **Undo** the changes if necessary. The image to the left is an illustrative example.

Ensure that your comments are accurate, professional, honest, and correlate to the score and description associated with the scoring guide. Do not include names and be mindful that:

- if requested to do so, they may be made available under the Official Information Act.
 - word limits for comments apply; these clearly display top left of each Comment field.
- Respond only to what you have been asked to assess.

4. When your assessment is complete (you have recorded your assessment (scores if required and comment(s))), click the **Submit** button.
5. A summary dialog displays with your assessment. If your recorded answers are satisfactory to you, click the **Submit** button. If not, click the **Back** button to return to the **Scoring** page and modify your assessment.

The **Submit** button is not active until all fields are complete.

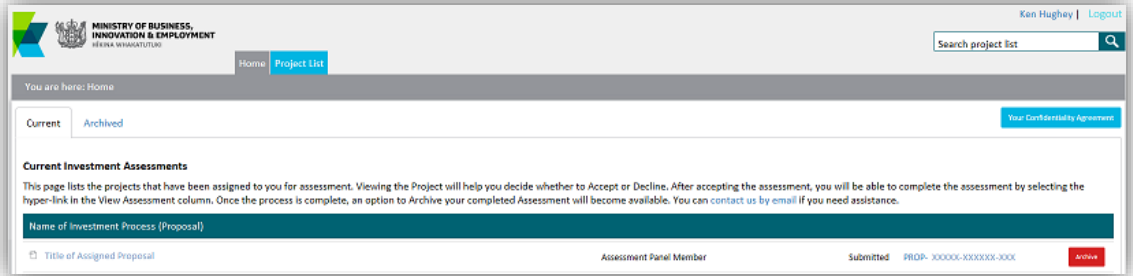
Once submitted, the proposal is automatically assigned the status **Submitted**.

6. Close the browser tab displaying the **Scoring** page and return to the tab displaying your list of assignments.

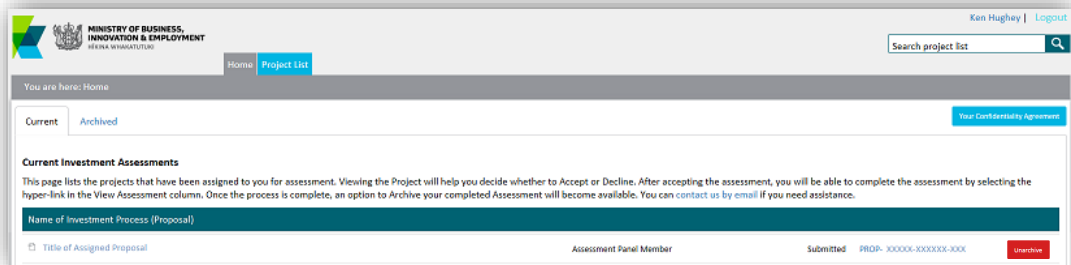
You may need to refresh the browser page to display the change in status.

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- For the proposal you have just scored, click the **Archive** button. The proposal is automatically removed from your list of assignments.



View all archived assignments on the **Archived** tab. You can retrieve the proposal at any stage by clicking the **Unarchive** button.



Remember to destroy all saved/printed proposals after the assessment process is completed.

Checking the Status of your Assessments

You can check the completeness of your assessment of a proposal in the left hand Navigation panel.

THE COLOURED BAR	INDICATES YOU HAVE...
	recorded a response
	yet to respond

You can also click the mouse at the top of the **Scoring** page to view a Progress bar.

Updating Your IMS Portal Details


From the **Home** screen in the IMS portal, you can maintain your details as and when required.

■ **To view and/or update your details:**

1. Click the **Edit my account details** button on the **Home** tab.
2. Update your details as required and click **Save**.

■ **To change your password:**

1. Click the **Change password** button on the **Home** tab.
2. Enter your new password and click **Save**.

You can also access these details by clicking the  button (*where UN is your initials*) located top right of assessment scoring pages.

