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[New Zealand Government](#)

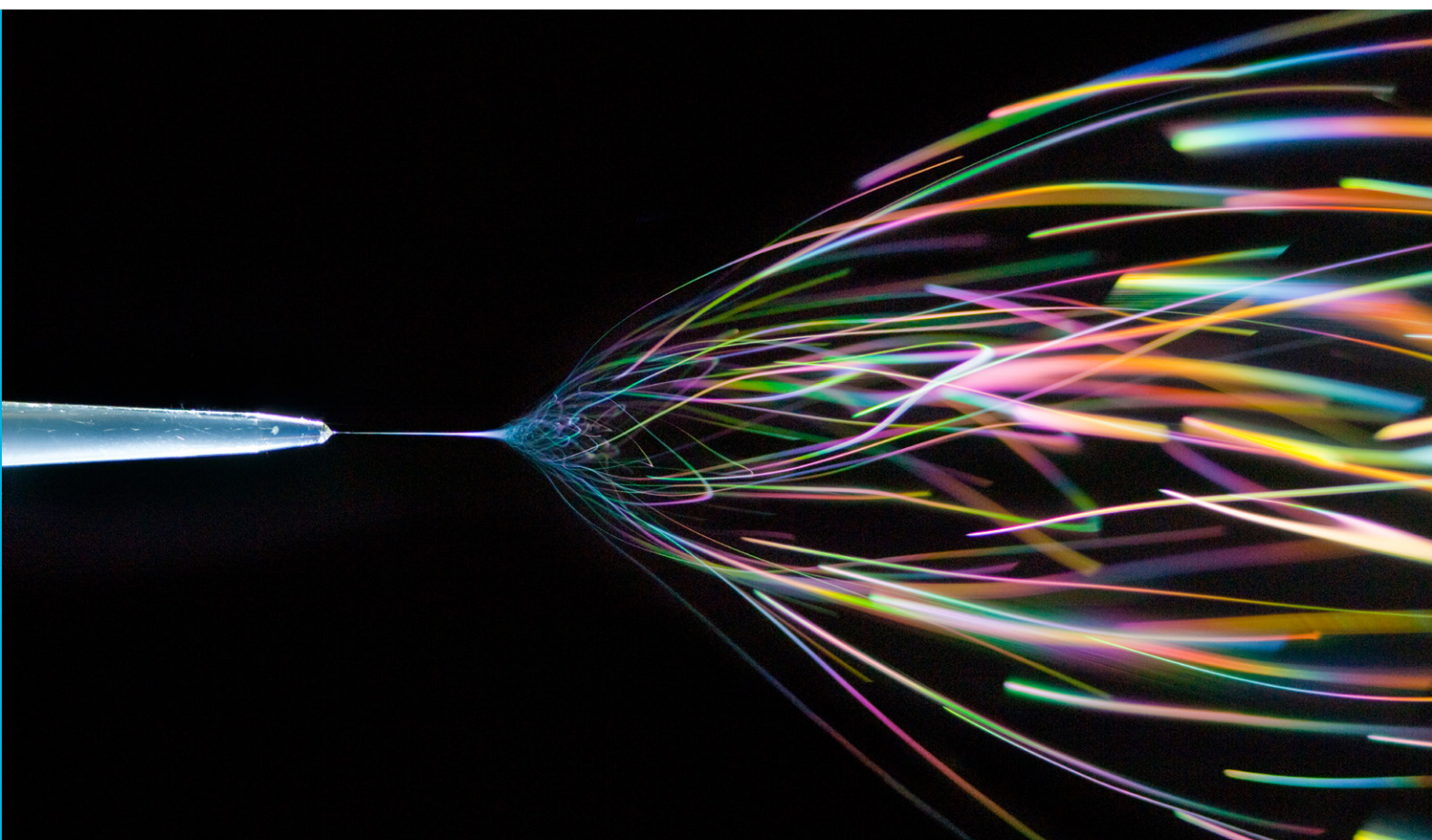
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# Endeavour Fund

## Assessment Guidelines

### 2021 Investment Round

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

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# Contents

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<b>FOREWORD</b>	<b>3</b>
<b>INTRODUCTION</b>	<b>4</b>
<b>THE ASSESSMENT PROCESS</b>	<b>5</b>
For Smart Ideas	5
For Research Programmes	5
Your Assessor Role	6
Key Dates	6
Time Commitment	7
Assigning Proposals and the role of Lead Assessor	7
Recording your Assessments	7
What the Assessments are used for	8
Confidentiality and Privacy	8
Conflicts of interest	8
<b>PERFORMING ASSESSMENTS</b>	<b>10</b>
The Assessment Steps	10
<b>EXCELLENCE ASSESSMENT</b>	<b>13</b>
Points to Note	13
Excellence Assessment Scoring Grid Smart Ideas Concepts & Full Proposals, and Research Programmes	15
<b>IMPACT ASSESSMENT</b>	<b>17</b>
Points to Note	17
Impact Assessment Scoring Grid Smart Ideas Full Proposals	20
Impact Assessment Scoring Grid Research Programmes – Protect and add value	22
Impact Assessment Scoring Grid Research Programmes – Transform	24
<b>USING IMS TO VIEW ASSIGNED PROPOSALS AND RECORD ASSESSMENTS</b>	<b>26</b>
Accessing IMS	26
Updating your IMS Details	27
Accepting/Declining Assigned Proposals	28
Viewing and Printing Assigned Proposals	29
Recording Assessments	29
Checking the Status of your Assessments	32
Recording Lead Assessor Summaries	32

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The Endeavour Fund's mission is to support research, science or technology, or related activities, with:

"The potential to positively transform New Zealand's economic performance, the sustainability and integrity of our environment, help strengthen our society and give effect to the Vision Mātauranga policy."

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# Foreword

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Thank you for agreeing to assess proposals submitted for investment from the Endeavour Fund 2021 round.

The Endeavour Fund is managed by New Zealand's Ministry of Business, Innovation and Employment (MBIE) as an investment portfolio with economic, environmental, and societal objectives. Investment is made through two mechanisms – Smart Ideas and Research Programmes. These guidelines detail what is involved in assessing both mechanisms and the role that you will play in this process.

Informed assessment of proposals is a critical aspect of MBIE's investment process, as it forms the basis of the Science Board's investment decisions. 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 Assessors and their affiliated organisations are published on MBIE's website. The expertise that you bring to the investment process is greatly appreciated.

Thank you for supporting MBIE's science investment processes.

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# Introduction

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As an Assessor, you have a critical role in helping MBIE's Science Board to identify proposals that have the greatest potential to deliver on the New Zealand Government's goals for the Endeavour Fund.

The Endeavour Fund's Smart Ideas investment mechanism catalyses and rapidly tests promising, innovative research ideas with high potential for benefit to New Zealand, to enable refresh and diversity in the science portfolio. Applicants can request between \$0.4 million to \$1 million over the term of two or three years. In 2021, we expect to invest up to \$18 million per year in Smart Ideas contracts.

The Endeavour Fund's Research Programmes investment mechanism supports ambitious, excellent, and well-defined research ideas which, collectively, have credible and high potential to positively transform New Zealand's future in areas of future value, growth or critical need. Applicants can request a minimum of \$0.5 million per year for a term of three, four or five years. In 2021, we expect to invest up to \$39 million per year in Research Programme contracts.

Please read this document in conjunction with the [Endeavour Fund Call for Proposals 2021 Investment Round](#).

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

**Email:** Assessment queries: [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz)  
IMS queries: [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

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

# The Assessment Process

You may be asked to assess proposals requesting funding from one or both investment mechanisms.

The assessment process differs between the two investment mechanisms and these processes are outlined below.

	As an Assessor you will assess your assigned...	The assessment informs the Science Board's decisions on which...
<b>FOR SMART IDEAS</b>		
<b>REGISTRATION</b> Applicant registers their interest before submitting a Concept	Not assessed	Not assessed
<b>CONCEPT</b> Registered Applicant submits a Concept	Smart Ideas Concept against the Excellence assessment criteria, and Vision Mātauranga, where relevant.	Smart Ideas Concepts are invited to submit a Smart Ideas Full Proposal.
<b>FULL PROPOSAL</b> Invited Applicant submits a Full Proposal	Smart Ideas Full Proposal against the Excellence assessment criteria, the Impact assessment criteria, and Vision Mātauranga, where relevant.	Smart Ideas Full Proposals receive investment.
<b>FOR RESEARCH PROGRAMMES</b>		
<b>REGISTRATION</b> Applicant registers their interest before submitting a Full Proposal	Not assessed	Not assessed
<b>FULL PROPOSAL</b> Registered Applicant submits a Full Proposal	Research Programmes Full Proposal against the Excellence assessment criteria, and Vision Mātauranga, where relevant.	Research Programmes Full Proposals progress to be assessed against the Impact assessment criteria.
	Research Programmes Full Proposal against the Impact assessment criteria, and Vision Mātauranga, where relevant.	Research Programmes Full Proposals receive investment.

Depending on the investment mechanism and proposal type, each assessment criterion has a weighting that contributes to the overall score, as specified in the [Gazette Notice](#).

The assessment process does not cover eligibility.

## Your Assessment Role

Your role as an Assessor is to review proposals submitted to the Endeavour Fund. Your key responsibilities are:

- › Declaring any conflicts of interest.
- › Reading and assessing assigned proposals.
- › Allocating scores that reflect your views (using a 7-point scoring system against our assessment criteria).
- › Recording your scores and supporting commentary, into our Investment Management System (IMS).
- › Adhering to our confidentiality and privacy provisions (in IMS).

You may also be asked to be a Lead Assessor for some proposals. As a Lead Assessor, in addition to the above, you will also be responsible for:

- › Writing assessment summaries for each proposal that reflect the range of comments and diversity of scores provided in the individual assessments, and how it responds to MBIE's Vision Mātauranga policy.
- › Providing Revised Scores (see page 11, 33) and the rationale for those scores for Impact assessment for Research Programmes only.

## Key Dates

	SMART IDEAS		RESEARCH PROGRAMMES	
	CONCEPTS	FULL PROPOSALS	FULL PROPOSALS	
			ASSESSMENT OF EXCELLENCE	ASSESSMENT OF IMPACT
Proposals assigned and assessment starts	19 Jan 2021	14 Jun 2021	17 Mar 2021	27 May 2021
Assessment ends. All assessments must be completed and recorded in IMS	03 Feb 2021	05 Jul 2021	29 Mar 2021	09 Jun 2021
Lead assessment will have started*	15 Feb 2021	12 Jul 2021	08 Apr 2021	16 Jun 2021
Lead assessment ends. All Lead assessments completed and recorded in IMS	24 Feb 2021	21 Jul 2021	20 Apr 2021	28 Jun 2021
Science Board decisions	Invitation to Full Proposal: Mar 2021	Investment: Sep 2021	Progress to Impact assessment: May 2021	Investment: Sep 2021
Successful Applicants notified	Mar 2021	Sep 2021	May 2021	Sep 2021
Contracts begin	Not applicable	1 Oct 2021	Not applicable	1 Oct 2021

\*Lead assessment starts as soon as all individual assessments for a proposal have been submitted.

*All dates are New Zealand Time*



## Time Commitment

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

APPROXIMATELY:	TO:
Half a day	Read these guidelines and the supporting documents.
2-3 hours per proposal (actual time depends on the proposal type i.e. Concepts or Full Proposals)	Read your assigned proposals, assign scores and enter those scores, with supporting commentary, into IMS.
1 hour per proposal (Lead Assessors only)	Record a summary of the individual Assessor comments and, for Research Programmes Impact, a Revised Score (see page 11, 33).

## Assigning proposals and the role of Lead Assessor

We assign proposals taking into account the proposal's fields of research and the Assessor's expertise, availability and the absence of any potential conflicts of interest. We will assign each proposal to four Assessors, one of which is designated the Lead Assessor.

We will email you with the details of the proposals you are asked to assess ("assigned to you") and if you are the Lead Assessor. You may be asked to assess proposals for a combination of one or more of the following:

INVESTMENT MECHANISM	PROPOSAL TYPE	ASSESS FOR:	
		EXCELLENCE	IMPACT
Smart Ideas	Concept	Yes	No
	Full Proposal	Yes	Yes
Research Programmes	Full Proposal	Yes	Yes (if selected to progress)

You use IMS to:

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

Refer to page 26 for further instructions on how to use IMS.

## Recording your Assessments

Your assessment scores and comments are recorded in IMS. If you are a Lead Assessor you will receive an email alert when all the individual assessments for the proposal(s) have been submitted to IMS. You can then start preparing the assessment summaries.

## What the assessments are used for

Your assessments are used for two purposes.

- 1) The Science Board makes the investment decisions in accordance with the Endeavour Fund 2021 Investment Round Gazette Notice, considering:
  - Independent Assessor reviews.
  - Portfolio approach.
  - Investment Targets in the Endeavour Fund Investment Plan 2019-2021, and MBIE's Vision Mātauranga policy.
- 2) The assessments are also used to provide feedback to applicants at the end of the round.

## Confidentiality and Privacy

To ensure confidentiality, as an Assessor you must:

- › Ensure the safekeeping of all proposals and related documents (eg 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 content or assessment of any proposal with the Applicant or any other party. If an Applicant contacts you about a proposal:
  - direct them to MBIE ([Endeavour@mbie.govt.nz](mailto:Endeavour@mbie.govt.nz)), and
  - email MBIE with the details of your contact.
- › Not use any confidential information for any purpose other than assessment.

You must agree to adhere to our confidentiality and privacy provisions which apply to all personal information collected by us in IMS before you can view your assigned proposals.

### Official Information Act 1982

Proposals and their assessments are confidential. Note however that we are subject to the Official Information Act 1982 and therefore assessment information may be released, as required by the Act.

## Conflicts of Interest

We follow a rigorous process to maintain the credibility of investment decisions and to assure applicants that their proposals are reasonably and fairly appraised.

Before starting to assess, you must check your list of assigned proposals for any conflicts of interest and either accept or decline each assignment as appropriate (see page 28 and 29 for how to do this).

It is important to report a conflict of interest as soon as possible to ensure that assessment is not delayed.

### What is Considered a Conflict of Interest?

Conflicts of interest may occur on two levels; direct and indirect.

- › A direct conflict of interest would be deemed if you are:
  - directly involved with a proposal (as a participant, manager, mentor, or partner) or you have a close personal relationship with the Applicant, eg family members, or
  - a collaborator or in some other way involved with an Applicant's work programme.
- › An indirect conflict of interest would be deemed if you:
  - are employed by an organisation involved in a proposal, but you are not part of the Applicant's work programme.
  - have a personal and/or professional relationship with one of the Applicants, eg an acquaintance.
  - have or had involvement with a proposal that is in direct competition with a proposal being assessed or where the impacts proposed by a proposal under discussion may compete with your personal business interests.

### 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, you must email MBIE at [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz) with the details for further discussion before accepting or declining the assignment.

# Performing Assessments

Use the following procedure when assessing proposals.

## The Assessment Steps

### 1. Read and understand the documents essential to the assessment process

Read and understand the:

- › Relevant scoring guide for Smart Ideas and Research Programmes Excellence and Impact, as appropriate (in this document). The scoring guides contain specific points to note for each assessment criterion to help ensure consistency in assessment.

INVESTMENT MECHANISM	PROPOSAL TYPE	SCORE GRID PAGE REFERENCE	
		EXCELLENCE	IMPACT
Smart Ideas	Concept	15–16	Not assessed
	Full Proposal	15–16	20–21
Research Programmes	Full Proposal	15–16	22–23 (Protect and add value)
			24–25 (Transform)

- › **Gazette Notice**, which sets out the Excellence and Impact assessment criteria, and the Fund's general and specific policy objectives.
- › **Endeavour Fund Investment Plan 2019–2021**, which details the Government's goals and priorities for investment through the Endeavour Fund.
- › **Vision Mātauranga policy** (see page 12 for details).

### 2. Accept (or Decline) your assigned proposals

Accept your assigned proposals (or decline if you believe a direct conflict of interest exists) within 24 hours of receiving your assignment. Contact MBIE if you believe an indirect conflict of interest exists (see page 28 for how to do this).

### 3. Read your assigned proposals (see page 29 for how to view and/or print).

### 4. Select an assessment score and record associated commentary

Only assess the information presented in the proposal. Applicants are expected to present all relevant information. If a proposal has obvious gaps, reflect this in your score and detail the significant issues in your comments.

Independently score each proposal using either the Excellence or Impact assessment criteria in the relevant assessment scoring grid for Smart Ideas and Research Programmes.

For each assessment criterion, select a score ranging from 1 (low quality) to 7 (high quality) from the scoring grid which best matches your assessment. Make sure that the language in your comment is consistent with the words in the score grid corresponding to the score you have given. It may be useful to use the words from the scoring grid.

While certain sections of proposals specifically align with the assessment criteria, assess the proposal as a whole before finalising your assessment.

Record your assessment scores in IMS (see page 29) and the reasons why you gave those scores. If your score is below 3 or above 5, include the specific deficiencies or merits.

Ensure that your comments are professional, honest, and accurate, and correlate with the scores and descriptions outlined in the scoring guides. Do not include names and be mindful that:

- › if requested, your comments may be released under the Official Information Act 1982.
- › your comments form the basis of feedback to Applicants.
- › word limits for comments apply; these are shown in each Comment field in IMS.
- › if assessing Excellence, only comment on Excellence. If assessing Impact, only comment on Impact.

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Exercise your knowledge, judgement and expertise to reach clear and sound assessments that are fair, objective and evidence-based.

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You will also be asked to rate:

- › the level of scientific or technical risk in the proposal, whether Low, Medium or High.
- › how closely your area(s) of expertise aligns with the proposal, whether Aligned, Well aligned, or Very well aligned.

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Be wary of 'drift' in your scoring. It is common for scoring to change as Assessors gain experience with the assessment process.

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## 5. Lead Assessors only

### **View and summarise Assessor comments for assigned proposals**

Record your summary for each assigned proposal, based on the individual Assessor comments and scores. Where there is a wide diversity of scores, comment on the reasons why.

**Do not include names or scores in your comments.**

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Be mindful that if requested to do so, assessment comments may be released under the Official Information Act 1982 and that your comments form the basis of feedback to Applicants.

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### **Assessment of Research Programmes Full Proposals for Impact only**

You will be asked to either confirm the calculated median score or provide a revised score for each of Benefit to New Zealand and Implementation Pathway(s) and explain your rationale.

The score should only be revised in cases where, after reading and weighing up all the individual Assessor comments, you believe the proposal should receive an adjusted score(s) for Benefit to New Zealand and the Implementation Pathway(s). These should not be based solely on your own assessment, but on an impartial view of all of the individual assessments.

Your rationale for your revising the scores will be provided to the Science Board. This rationale is particularly important if one or both Revised Scores are different to the calculated medians of the individual Assessor scores.

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

**We will perform quality assurance checks for procedural compliance on all assessments to ensure they comply with these Assessment Guidelines. If we have any questions about your assessment(s), we will contact you.**

### **Vision Mātauranga**

Through the Vision Mātauranga policy, we encourage appropriate and distinctive research arising from the interface between Māori knowledge and science, to deliver effective and innovative products, services and outcomes for New Zealand. This includes integrating the policy across government investments in research, and building the capability, capacity and networks of Māori and the research community to collaborate and carry out this work.

The outcomes being sought through the policy appear in the Investment Signals section of the Endeavour Fund Investment Plan 2019-2021.

The Excellence and Impact assessment includes Vision Mātauranga where relevant; it is not a separate or additional assessment. When performing your assessment, consider if Vision Mātauranga is relevant.

If Vision Mātauranga is relevant, in terms of the positioning of the proposal and/or if there is explicit acknowledgement of Vision Mātauranga, consider:

- › When assessing Excellence, whether Vision Mātauranga has been incorporated in the design of the research, and the capability of the team and its connections to key Māori stakeholders?
- › When assessing Impact, the extent the proposal identifies potential benefits to Māori and New Zealand, and the extent to which the implementation pathway(s) engages key Māori stakeholders and Māori knowledge in delivering these benefits?

**During assessment, you are asked:**

1. In your opinion is Vision Mātauranga relevant to the proposal?
  - › Yes or No
  - › Why?

***If you answered YES:***

How well did the proposal give effect to Vision Mātauranga?

- › Very Well / Moderately Well / Not Well / Not addressed
- › Why?

***If you answered NO:***

How well did the applicant consider the opportunities to incorporate Vision Mātauranga into the proposal?

- › Very Well / Moderately Well / Not Well / Not addressed
- › Why?

# Excellence Assessment

## Points to Note

To assess **Excellence**, read and understand the points to note below and use the score grids on the following pages to help form your assessment and determine a score. The same score grids are used for assessing Excellence (Science and Team) for Smart Ideas Concepts, Smart Ideas Full Proposals and Research Programmes Full Proposals.

<p>Consider <b>Excellence</b> in the context of:</p> <ul style="list-style-type: none"> <li>› <b>Research horizons:</b> Early stage research may pose higher scientific or technical risk than later stage research. Both approaches are valid.</li> <li>› <b>Areas of research:</b> Excellent research should be appropriate to the relevant discipline(s).</li> </ul>	SPECIFIC POINTS TO NOTE FOR SCIENCE	
	<b>Dissemination</b>	<ul style="list-style-type: none"> <li>› Making the research results available for potential end (or next) users so that impact and benefits can be achieved.</li> <li>› May vary according to the situation and should not be confined to publications in peer reviewed scientific journals.</li> </ul>
	<b>Risk</b>	<ul style="list-style-type: none"> <li>› Scientific and technical risk is the basis of a good proposal. This may include assumptions that are based on current knowledge and scientific principles; or the application of scientific techniques in an unproven or speculative way.</li> <li>› Technical risk may be associated with a new technology, which will need to be developed during the research.</li> </ul>
	<b>Risk management</b>	<ul style="list-style-type: none"> <li>› Risk managed through risk mitigation strategies and/or contingency plans, and residual risk is considered against the potential additional value.</li> <li>› Risk and additional value are considered together. However, risk and additional value can exist in many combinations, so the reference statements in the guide are only examples of where some combinations should sit in the scoring range. Assessors need to use their judgement in deciding where other combinations might more appropriately sit.</li> </ul>
	<b>Novelty</b>	<ul style="list-style-type: none"> <li>› A new method or idea.</li> <li>› All or some elements of a proposal may be novel.</li> <li>› Novelty can range from having only minor impact to making ground-breaking advances.</li> </ul>
	<b>Innovation</b>	<ul style="list-style-type: none"> <li>› Bringing in new methods or ideas.</li> <li>› Degrees of innovation range from minor innovations in existing processes/techniques to the implementation of completely new processes/techniques that significantly challenge the status quo.</li> <li>› Can include the application of existing processes or techniques in new or unexpected areas.</li> </ul>

	<p><b>Well positioned</b></p>	<p>The research:</p> <ul style="list-style-type: none"> <li>› takes account of existing knowledge and research, either by: <ul style="list-style-type: none"> <li>– avoiding redundancy or overlap, or</li> <li>– using existing knowledge/research as a platform for achieving more significant advances in knowledge than would otherwise be the case.</li> </ul> </li> <li>› links with key related science activities (often funded separately) are described and are complementary or synergistic.</li> <li>› has international links that provide leverage and additional value.</li> </ul>
	<p><b>A credible research plan</b></p>	<p>Contains all of the expected elements, in a way which is scientifically and managerially competent and can be effectively implemented. Expected elements include:</p> <ul style="list-style-type: none"> <li>› the research methodology and methods,</li> <li>› the research design and proposed outputs,</li> <li>› a risk management and mitigation plan, and</li> <li>› provision for access to and use of the facilities and equipment for carrying out the research.</li> </ul>
	<p><b>Skill mix</b></p>	<p>Consider whether the:</p> <ul style="list-style-type: none"> <li>› mix of skills is appropriate to the research.</li> <li>› whole team has the level of experience and other attributes which give confidence in their ability to deliver the research.</li> </ul>



**EXCELLENCE ASSESSMENT SCORE GRID:** Smart Ideas Concepts, Smart Ideas Full Proposals, and Research Programmes Full Proposals

**SCORE AND KEYWORDS:**

<p><b>SCIENCE</b></p> <p><b>CRITERION:</b> Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research.</p>	<p><b>1</b> (Low quality)</p> <p><i>None</i> <i>Not /no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><b>2</b></p> <p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Unlikely</i> <i>Lacking</i></p>	<p><b>3</b></p> <p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possibly</i></p>	<p><b>4</b></p> <p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonably</i></p>	<p><b>5</b></p> <p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i></p>	<p><b>6</b></p> <p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Certain</i> <i>Extensive</i></p>	<p><b>7</b> (High quality)</p> <p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Definitely</i></p>
<p>When assessing the <b>SCIENCE</b> criterion, assessors <b>will</b> consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> <li>Will the research, science or technology or related activities, progress and disseminate new knowledge?</li> <li>Does the proposal have a well-designed research plan and a credible approach to risk management?</li> <li>Is the proposal ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches?</li> <li>Is the proposal well-positioned in the domestic and international research context?</li> </ul>	<p>The proposal design is <b>not fit for purpose</b>. It involves no risk and/or novelty. It leverages no additional value from wider research.</p> <p>For example, the research will <b>not</b> progress or disseminate new knowledge.</p>	<p>The proposal design is <b>poor</b>. It involves <b>minimal</b> risk and/or novelty. It leverages <b>little</b> additional value from wider research.</p> <p>For example, the research will <b>minimally</b> progress and disseminate new knowledge.</p>	<p>The proposal design is <b>limited</b>. It involves <b>some</b> risk and/or novelty. It leverages <b>some</b> additional value from wider research.</p> <p>For example, the research will <b>partially</b> progress and disseminate new knowledge.</p>	<p>The proposal design is <b>suitable</b>. It involves an <b>acceptable</b> level of risk and/or novelty. It leverages <b>sufficient</b> additional value from wider research.</p> <p>For example, the research will <b>adequately</b> progress and disseminate new knowledge.</p>	<p>The proposal design is <b>good</b>. It involves a <b>significant</b> level of risk and/or novelty. It leverages a <b>substantial</b> amount of additional value from wider research.</p> <p>For example, the research will <b>significantly</b> progress and disseminate new knowledge.</p>	<p>The proposal design is <b>strong</b>. It involves a <b>high</b> level of risk and/or novelty. It leverages a <b>comprehensive</b> amount of additional value from wider research.</p> <p>For example, the research will <b>extensively</b> progress and disseminate new knowledge.</p>	<p>The proposal design is <b>exemplary</b>. It involves an <b>impressive</b> level of risk and/or novelty. It leverages an <b>outstanding</b> amount of additional value from wider research.</p> <p>For example, the research will <b>definitely</b> progress and disseminate new knowledge.</p>
<p>When assessing proposals where Vision Mātauranga is considered relevant, assessors <b>should also</b> consider how the proposal has addressed each of the following questions:</p> <ul style="list-style-type: none"> <li>Have the Māori contributions to the research been identified and valued?</li> <li>Has a Vision Mātauranga theme been incorporated in the design of the research?</li> <li>Have the necessary relationships been developed with key Māori stakeholders to deliver the research?</li> </ul>	<p>For example, where Vision Mātauranga is considered relevant, Māori contributions to the research have <b>not</b> been identified and valued.</p>	<p>For example, where Vision Mātauranga is considered relevant, Māori contributions have been <b>poorly</b> identified and valued.</p>	<p>For example, where Vision Mātauranga is considered relevant, Māori contributions have been <b>partially</b> identified and valued.</p>	<p>For example, where Vision Mātauranga is considered relevant, Māori contributions have been <b>adequately</b> identified and valued.</p>	<p>For example, where Vision Mātauranga is considered relevant, Māori contributions have been <b>well</b> identified and valued.</p>	<p>For example, where Vision Mātauranga is considered relevant, Māori contributions have been <b>very well</b> identified and valued.</p>	<p>For example, where Vision Mātauranga is considered relevant, Māori contributions have been <b>outstandingly</b> identified and valued.</p>

**EXCELLENCE ASSESSMENT SCORE GRID: Smart Ideas Concepts, Smart Ideas Full Proposals, and Research Programmes Full Proposals**
**SCORE AND KEYWORDS:**

<b>TEAM</b> <b>CRITERION:</b> The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.	<b>1</b> (Low quality) <i>None</i> <i>Not /no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i>	<b>2</b> <i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Unlikely</i> <i>Lacking</i>	<b>3</b> <i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possibly</i>	<b>4</b> <i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonably</i>	<b>5</b> <i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i>	<b>6</b> <i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Certain</i> <i>Extensive</i>	<b>7</b> (High quality) <i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Definitely</i>
When assessing the <b>TEAM</b> criterion, assessors <b>will</b> consider how well the proposal addresses each of the following questions: <ul style="list-style-type: none"> <li>› Does the team have the right mix of complementary skills and knowledge to deliver the proposed research, science, technology or related activities?</li> <li>› Does the team have the necessary resources to deliver the proposed research, science, technology or related activities?</li> <li>› Does the team have the right mix of complementary skills, knowledge and resources to manage any risks?</li> </ul>	The team has <b>none</b> of the skills, knowledge, or resources needed to deliver the proposal and manage risks.  For example, there is <b>no</b> evidence of the necessary skills and knowledge available.	The team has an <b>insufficient</b> mix of skills, knowledge and resources needed to deliver the proposal and manage risks.  For example, there is <b>inadequate</b> evidence of the necessary skills and knowledge available.	The team has a <b>limited</b> mix skills, knowledge and resources needed to deliver the proposal and manage risks.  For example, there is <b>limited</b> evidence of the necessary skills and knowledge available.	The team has an <b>adequate</b> mix of skills, knowledge and resources needed to deliver the proposal and manage risks.  For example, there is <b>sufficient</b> evidence of the necessary skills and knowledge available.	The team has a <b>good</b> mix of skills, knowledge and resources needed to deliver the proposal and manage risks.  For example, there is <b>substantial</b> evidence of the necessary skills and knowledge available.	The team has <b>comprehensive</b> mix of skills, knowledge and resources needed to deliver the proposal and manage risks.  For example, there is <b>very good</b> evidence of the necessary skills and knowledge available.	The team has an <b>exemplary</b> mix of skills and knowledge and resources needed to deliver the proposal and manage risks.  For example, there is <b>excellent</b> evidence of the necessary skills and knowledge available.
When assessing proposals where Vision Mātauranga is considered relevant, assessors <b>should also</b> consider how the proposal has addressed each of the following questions: <ul style="list-style-type: none"> <li>› Is there the necessary Māori expertise in the team to deliver the proposed research, science, technology or related activities?</li> <li>› Are there appropriate opportunities for capability development of Māori?</li> <li>› For research specifically involving Māori people, knowledge or resources, is appropriate resourcing for engagement included?</li> </ul>	For example, where Vision Mātauranga is considered relevant, there is <b>no</b> Māori expertise in the team to deliver the proposed work.	For example, where Vision Mātauranga is considered relevant, there is <b>insufficient</b> Māori expertise in the team to deliver the proposed work.	For example, where Vision Mātauranga is considered relevant, there is <b>limited</b> Māori expertise in the team to deliver the proposed work.	For example, where Vision Mātauranga is considered relevant, there is <b>suitable</b> Māori expertise in the team to deliver the proposed work.	For example, where Vision Mātauranga is considered relevant, there is <b>significant</b> Māori expertise in the team to deliver the proposed work.	For example, where Vision Mātauranga is considered relevant, there is <b>very good</b> Māori expertise in the team to deliver the proposed work.	For example, where Vision Mātauranga is considered relevant, there is <b>outstanding</b> Māori expertise in the team to deliver the proposed work.

# Impact Assessment

## Points to Note

To assess impact, read and understand the points to note below and use the appropriate scoring grid on the following pages to help form your assessment and determine a score.

There are separate scoring grids for Smart Ideas Full Proposals (pages 20-21), Research Programmes – Protect and add value (pages 22-23), and Research Programmes – Transform (pages 24-25).

<p>Consider Impact in the context of the breadth/extent of the proposed benefits, which may include aspects that go beyond the direct benefits associated with the output of the research. These can include:</p> <ul style="list-style-type: none"> <li>› Benefits across multiple sectors</li> <li>› Faster uptake of results in multiple areas</li> <li>› Improved state of the environment</li> <li>› Potential to scale up regional initiatives to nation-wide implementation</li> <li>› Consistency of standards or approaches for regulators</li> <li>› Improved social well-being</li> <li>› Better use of resources</li> <li>› Preservation or enhancement of cultural heritage and values</li> <li>› More efficient processes</li> <li>› Upskilling industry</li> <li>› Support for emerging new sectors</li> </ul>	SPECIFIC POINTS TO NOTE FOR BENEFIT TO NEW ZEALAND	
	<p><b>Scale</b></p>	<p>Size expressed in a way which sensibly reflects the end use area. For example:</p> <ul style="list-style-type: none"> <li>› an economic development project may express scale in financial terms or degree of penetration of markets.</li> <li>› social and environmental projects may use the level of impact on or significance for, reducing environmental effects, resolving social issues, and/or developing more effective policies, etc.</li> </ul> <p>In assessing estimates of scale, apply the principle of additionality:</p> <ul style="list-style-type: none"> <li>› value over and above that which would be expected to occur anyway through routine research investment by existing, scientifically competent businesses or user organisations.</li> <li>› value which exceeds the cost of doing the research. For proposals involving health-related research.</li> <li>› only assess the economic (eg sales and patentable technology), environment and society outcomes and not any health outcomes (eg clinical benefits and cost savings to the health care system).</li> <li>› if you feel the health outcomes are far greater than economic, environment and society outcomes, state this in your comment.</li> </ul>
	<p><b>Extent</b></p>	<p>The coverage of the benefits, ie irrespective of scale, whether benefits are concentrated in a narrow area (eg individual organisations) or are of widespread potential impact. Given a particular scale of impact, score more highly proposals of widespread coverage than those of narrow impact.</p> <p>Consider the extent to which proposals will enable:</p> <ul style="list-style-type: none"> <li>› potential impact for New Zealand.</li> <li>› more investment in research with higher (impact)</li> <li>› risk and longer term horizons to impact (consider impact risk in the research separately from scientific/technical risk which is included in assessing Excellence).</li> <li>› better leveraging of wider existing investment and knowledge in New Zealand and overseas.</li> <li>› greater effect to be given to Vision Mātauranga.</li> </ul>

<ul style="list-style-type: none"> <li>› Creation of research platform which has additional utility for new users</li> <li>› Job creation eg via new start-ups</li> <li>› Development of a cluster of businesses</li> <li>› Multinational business attraction to or retention in New Zealand</li> <li>› Protecting existing markets, or impact on New Zealand's reputation</li> <li>› Diversification of the economy.</li> </ul>	<b>SPECIFIC POINTS TO NOTE FOR IMPLEMENTATION PATHWAY(S)</b>
	<p><b>Credible implementation pathway(s)</b></p> <p>Sufficient end or next-user information to confirm that the analysis takes account of the characteristics of the area in which it will be used and is not simply a generic description. There needs to be enough detail so that pathway(s) can be traced, and the role of each participant/end user is clear. The implementation pathway(s) are expected to be appropriate to the state of the sector or the stage of the research, eg if the research is:</p> <ul style="list-style-type: none"> <li>› At a later stage of development, a detailed description of the pathway(s) towards implementation is expected as is more end-user involvement.</li> <li>› At an earlier stage of development, next users would be more relevant, and a line of sight towards implementation should be visible, but not to the same extent as with more applied research.</li> </ul> <p>In both cases, there should be some indication that pathway(s) have been given serious thought and that the implementation is not limited to a 'one size fits all' approach. The impact delivery plan needs to contain the information referred to above. The information should be authoritative (<i>derived from or built on credible and reliable sources</i>), set out in a logical pattern and supported by good quality analysis and explanation. This is particularly important for Research Programmes proposals submitted under the 'Transform' impact category.</p>
	<p><b>Strength of the relationships</b></p> <p>The provision of co-funding in some cases may reflect the level of end user or stakeholder commitment. In others co-funding may not be a relevant factor (<i>co-funding is not a requirement for proposals</i>).</p> <p>Measure against a range of parameters which include the:</p> <ul style="list-style-type: none"> <li>› length of time over which the relationship has been developed.</li> <li>› quality of the relationship (eg deep seated or superficial).</li> <li>› level of commitment of the stakeholders/end users/beneficiaries. To some extent, the level of commitment can be gauged from:             <ul style="list-style-type: none"> <li>– the level of user-involvement in steering the research (eg via an advisory group),</li> <li>– commitment either to specific actions or to providing various types of assistance.</li> </ul> </li> </ul>

<p>Proposals submitted in the Transform category should meet both the following:</p> <ul style="list-style-type: none"> <li>› Immediate Impact: the new, or changed, technology, process, practice, business model or policy, that is enabled by the research, a radical change and/or a leap in performance versus the status quo; <b>and</b></li> <li>› Ultimate Impact: the research ultimately leads to a transformational change within the New Zealand economy, society or environment by, for example, creating or disrupting economic activities, creating a new sustainable resource use or eliminating environmental damage, or changing the character of risks and opportunities faced by individuals and society</li> </ul> <p>Applicants have been advised that proposals that do not meet both criteria above should have been submitted in the 'Protect and add value' category. Use the Transform scoring grid when assessing all proposals submitted under the Transform category.</p> <p>For the avoidance of doubt, the focus of assessment for proposals in the "Transform" category is on the nature rather than the size of the impact.</p> <p>Evidence of a large impact will not be taken as conclusive evidence of a transformational impact.</p>	<h3 style="text-align: center;">SPECIFIC POINTS TO NOTE FOR IMPLEMENTATION PATHWAY(S), RESEARCH PROGRAMMES ONLY</h3> <table border="1"> <tr> <td data-bbox="632 394 815 734"> <p><b>Relevant</b></p> </td> <td data-bbox="815 394 1310 734"> <p>The end users need to credibly link to the implementation of the projected impacts. For proposals submitted under the Protect and add value Impact category, if there is no relevant link, the strength of the relationship is irrelevant and the score should be marked down accordingly.</p> <p>For proposals submitted under the Transform Impact category, in a new industry with no existing end users, then the envisioned end users should be described and what types of relationships would need to be developed.</p> </td> </tr> <tr> <td data-bbox="632 734 815 1532"> <p><b>Team impact track record</b></p> </td> <td data-bbox="815 734 1310 1532"> <p>Where the applicant describes the mix of complementary skills and experience within the team, relevant to achieving impact. Includes team members experience in applying research findings commercially or non-commercially leading to economic, social and environmental impact. It builds on the information provided in the CVs and could include details of 'spin-off' companies, licensing intellectual property, applications of knowledge in policy, social to environmental domains, development and commercialisation of software and technical products, etc.</p> </td> </tr> </table>	<p><b>Relevant</b></p>	<p>The end users need to credibly link to the implementation of the projected impacts. For proposals submitted under the Protect and add value Impact category, if there is no relevant link, the strength of the relationship is irrelevant and the score should be marked down accordingly.</p> <p>For proposals submitted under the Transform Impact category, in a new industry with no existing end users, then the envisioned end users should be described and what types of relationships would need to be developed.</p>	<p><b>Team impact track record</b></p>	<p>Where the applicant describes the mix of complementary skills and experience within the team, relevant to achieving impact. Includes team members experience in applying research findings commercially or non-commercially leading to economic, social and environmental impact. It builds on the information provided in the CVs and could include details of 'spin-off' companies, licensing intellectual property, applications of knowledge in policy, social to environmental domains, development and commercialisation of software and technical products, etc.</p>
<p><b>Relevant</b></p>	<p>The end users need to credibly link to the implementation of the projected impacts. For proposals submitted under the Protect and add value Impact category, if there is no relevant link, the strength of the relationship is irrelevant and the score should be marked down accordingly.</p> <p>For proposals submitted under the Transform Impact category, in a new industry with no existing end users, then the envisioned end users should be described and what types of relationships would need to be developed.</p>				
<p><b>Team impact track record</b></p>	<p>Where the applicant describes the mix of complementary skills and experience within the team, relevant to achieving impact. Includes team members experience in applying research findings commercially or non-commercially leading to economic, social and environmental impact. It builds on the information provided in the CVs and could include details of 'spin-off' companies, licensing intellectual property, applications of knowledge in policy, social to environmental domains, development and commercialisation of software and technical products, etc.</p>				

## IMPACT ASSESSMENT SCORE GRID: Smart Ideas Full Proposals

### SCORE AND KEYWORDS:

#### BENEFIT TO NEW ZEALAND

**CRITERION:** Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand's economic, social, human or natural capital.

	1 (Low quality)	2	3	4	5	6	7 (High quality)
	<p><i>None</i> <i>Not /no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Unlikely</i> <i>Lacking</i></p>	<p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possibly</i></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonably</i></p>	<p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i></p>	<p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Certain</i> <i>Extensive</i></p>	<p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Definitely</i></p>
<p>When assessing the <b>BENEFIT TO NEW ZEALAND</b> criterion, assessors <b>will</b> consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> <li>What is the scale and extent of potential direct and indirect benefits from the proposed research, science or technology or related activities?</li> <li>Do the benefits have impact on New Zealand's economic, social, human or natural capital?</li> <li>Does the research have direct and indirect benefits or effect on New Zealand individuals, communities or society as a whole?</li> <li>To what extent will the outcomes of the proposal align with one or more areas of future value, growth or critical need for New Zealand?</li> <li>Will the research deliver additional value for New Zealand?</li> </ul>	<p>The scale and extent of the potential benefits of the proposed work is <b>negligible</b>. The Relevance of Benefits and additional value delivered to New Zealand is <b>missing</b>.</p> <p>For example, the research will <b>not</b> deliver additional value for New Zealand.</p>	<p>The scale and extent of the potential benefits of the proposed work is <b>doubtful</b>. The Relevance of Benefits and additional value delivered to New Zealand is <b>insufficient</b>.</p> <p>For example, the research will deliver <b>insufficient</b> additional value for New Zealand.</p>	<p>The scale and extent of the potential benefits of the proposed work is <b>limited</b>. The Relevance of Benefits and additional value delivered to New Zealand is <b>uncertain</b>.</p> <p>For example, the research will deliver <b>limited</b> additional value for New Zealand.</p>	<p>The scale and extent of the potential benefits of the proposed work is <b>adequate</b>. The Relevance of Benefits and additional value delivered to New Zealand is <b>acceptable</b>.</p> <p>For example, the research will deliver <b>adequate</b> additional value for New Zealand.</p>	<p>The scale and extent of the potential benefits of the proposed work is <b>significant</b>. The Relevance of Benefits and additional value delivered to New Zealand is <b>good</b>.</p> <p>For example, the research will deliver <b>good</b> additional value for New Zealand.</p>	<p>The scale and extent of the potential benefits of the proposed work is <b>comprehensive</b>. The Relevance of Benefits and additional value delivered to New Zealand is <b>very good</b>.</p> <p>For example, the research will deliver <b>very good</b> additional value for New Zealand.</p>	<p>The scale and extent of the potential benefits of the proposed work is <b>exemplary</b>. The Relevance of Benefits and additional value delivered to New Zealand is <b>excellent</b>.</p> <p>For example, the research will deliver <b>excellent</b> additional value for New Zealand.</p>
<p>When assessing proposals where Vision Mātauranga is considered relevant, assessors <b>should also</b> consider how the proposal has addressed each of the following questions:</p> <ul style="list-style-type: none"> <li>Does the proposal identify potential benefits for Māori? What is the extent of the benefits?</li> <li>Does the research address an issue of importance for Māori?</li> </ul>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will <b>not</b> be of value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will be of <b>little</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>some</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>sufficient</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>significant</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>certain</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>impressive</b> value for Māori.</p>

Definition of terms, as specified in the [Gazette Notice](#)

**Relevance of Benefits** means the extent of alignment with one or more areas of future value, growth or critical need for New Zealand.

**IMPACT ASSESSMENT SCORE GRID: Smart Ideas Full Proposals**

**SCORE AND KEYWORDS:**

<b>IMPLEMENTATION PATHWAY(S)</b>	<b>1</b> (Low quality) <i>None</i> <i>Not /no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i>	<b>2</b> <i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Unlikely</i> <i>Lacking</i>	<b>3</b> <i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possibly</i>	<b>4</b> <i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonably</i>	<b>5</b> <i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i>	<b>6</b> <i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Certain</i> <i>Extensive</i>	<b>7</b> (High quality) <i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Definitely</i>
When assessing the <b>IMPLEMENTATION PATHWAY(S)</b> criterion, assessors <b>will</b> consider how well the proposal addresses each of the following questions: <ul style="list-style-type: none"> <li>› Does the proposal provide credible indicative implementation pathway(s) to deliver public benefit to New Zealand?</li> <li>› Is the benefit limited to a single firm or end-user?</li> </ul> <p><b>Note: If the IMPLEMENTATION PATHWAY(S) are limited to a single firm or end-user, the IMPLEMENTATION PATHWAY(S) score must be 1.</b></p>	The indicative implementation pathway(s) <b>will not</b> deliver public benefit to New Zealand. <u>Benefit is limited to a single firm or end-user.</u>  For example, the implementation pathways are <b>not credible</b> because the supporting information is <b>missing</b> .	The indicative implementation pathway(s) are inadequate for the delivery of public benefit to New Zealand. Benefit is not limited to a single firm or end-user.  For example, the implementation pathways are <b>inadequate</b> because the supporting information is <b>insufficient</b> .	The indicative implementation pathway(s) are <b>limited</b> for the delivery of public benefit to New Zealand. Benefit is not limited to a single firm or end-user.  For example, the implementation pathways are <b>limited</b> because the supporting information <b>lacks detail</b> .	The indicative implementation pathway(s) are <b>acceptable</b> for the delivery of public benefit to New Zealand. Benefit is not limited to a single firm or end-user.  For example, the implementation pathways are <b>acceptable</b> because the supporting information is <b>suitable</b> .	The indicative implementation pathway(s) are <b>clear</b> for the delivery of public benefit to New Zealand. Benefit is not limited to a single firm or end-user.  For example, the implementation pathways are <b>clear</b> because the supporting information is <b>substantial</b> .	The indicative implementation pathway(s) are <b>very good</b> for the delivery of public benefit to New Zealand. Benefit is not limited to a single firm or end-user.  For example, the implementation pathways are <b>very good</b> because the supporting information is <b>comprehensive</b> .	The indicative implementation pathway(s) are <b>excellent</b> for the delivery of public benefit to New Zealand. Benefit is not limited to a single firm or end-user.  For example, the implementation pathways are <b>excellent</b> because the supporting information is <b>exemplary</b> .
When assessing proposals where Vision Mātauranga is considered relevant, assessors <b>should also</b> consider how the proposal has addressed each of the following questions: <ul style="list-style-type: none"> <li>› To what extent during implementation does the team engage with key Māori stakeholders?</li> <li>› To what extent is Māori knowledge used to deliver the benefits of the proposal?</li> <li>› For research specifically involving Māori people, knowledge or resources, is appropriate resourcing included ensuring implementation?</li> </ul>	For example, where Vision Mātauranga is considered relevant, there is <b>no credible</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>little</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>some</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>adequate</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>significant</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>very good</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>outstanding</b> engagement with Māori partners.

## IMPACT ASSESSMENT SCORE GRID: Research Programmes Full Proposals – Protect and add value Impact category

		SCORE AND KEYWORDS:						
<b>BENEFIT TO NEW ZEALAND</b>		<b>1</b> (Low quality) <i>None Not /no Not fit for purpose Negligible Missing Not credible</i>	<b>2</b> <i>Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking</i>	<b>3</b> <i>Limited Uncertain Some Partial Incomplete Lacks detail Possibly</i>	<b>4</b> <i>Acceptable Sufficient Suitable Adequate Reasonably</i>	<b>5</b> <i>Significant Good Substantial Well Clear Large</i>	<b>6</b> <i>Strong High Comprehensive Very good Very well Certain Extensive</i>	<b>7</b> (High quality) <i>Excellent Exemplary Impressive Outstanding Definitely</i>
When assessing the <b>BENEFIT TO NEW ZEALAND</b> criterion, assessors will consider how well the proposal addresses each of the following questions:		The scale and extent of the potential benefits of the proposed work is <b>negligible</b> . The Relevance the Benefits and additional value delivered to New Zealand is <b>missing</b> . For example, the research will <b>not</b> deliver additional value for New Zealand.	The scale and extent of the potential benefits of the proposed work is <b>doubtful</b> . The Relevance the Benefits and additional value delivered to New Zealand is <b>insufficient</b> . For example, the research will deliver <b>insufficient</b> additional value for New Zealand.	The scale and extent of the potential benefits of the proposed work is <b>limited</b> . The Relevance the Benefits and additional value delivered to New Zealand is <b>uncertain</b> . For example, the research will deliver <b>limited</b> additional value for New Zealand.	The scale and extent of the potential benefits of the proposed work is <b>adequate</b> . The Relevance the Benefits and additional value delivered to New Zealand is <b>acceptable</b> . For example, the research will deliver <b>adequate</b> additional value for New Zealand.	The scale and extent of the potential benefits of the proposed work is <b>significant</b> . The Relevance the Benefits and additional value delivered to New Zealand is <b>good</b> . For example, the research will deliver <b>good</b> additional value for New Zealand.	The scale and extent of the potential benefits of the proposed work is <b>comprehensive</b> . The Relevance the Benefits and additional value delivered to New Zealand is <b>very good</b> . For example, the research will deliver <b>very good</b> additional value for New Zealand.	The scale and extent of the potential benefits of the proposed work is <b>exemplary</b> . The Relevance the Benefits and additional value delivered to New Zealand is <b>excellent</b> . For example, the research will deliver <b>excellent</b> additional value for New Zealand.
When assessing proposals where Vision Mātauranga is considered relevant, assessors should also consider how the proposal has addressed each of the following questions:		For example, where Vision Mātauranga is considered relevant, the benefits of the research will <b>not</b> be of value for Māori.	For example, where Vision Mātauranga is considered relevant, the benefits of the research will be of <b>little</b> value for Māori.	For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>some</b> value for Māori.	For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>sufficient</b> value for Māori.	For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>significant</b> value for Māori.	For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>certain</b> value for Māori.	For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>impressive</b> value for Māori.

Definition of terms, as specified in the [Gazette Notice](#)

**Relevance of Benefits** means the extent of alignment with one or more areas of future value, growth or critical need for New Zealand.



**IMPACT ASSESSMENT SCORE GRID: Research Programmes Full Proposals – Protect and add value Impact category**

**SCORE AND KEYWORDS:**

<p><b>IMPLEMENTATION PATHWAY(S)</b></p> <p><b>CRITERION:</b> The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders, and the mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</p>	<p><b>1</b> (Low quality)</p> <p><i>None Not /no Not fit for purpose Negligible Missing Not credible</i></p>	<p><b>2</b></p> <p><i>Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking</i></p>	<p><b>3</b></p> <p><i>Limited Uncertain Some Partial Incomplete Lacks detail Possibly</i></p>	<p><b>4</b></p> <p><i>Acceptable Sufficient Suitable Adequate Reasonably</i></p>	<p><b>5</b></p> <p><i>Significant Good Substantial Well Clear Large</i></p>	<p><b>6</b></p> <p><i>Strong High Comprehensive Very good Very well Certain Extensive</i></p>	<p><b>7</b> (High quality)</p> <p><i>Excellent Exemplary Impressive Outstanding Definitely</i></p>
<p>When assessing the <b>IMPLEMENTATION PATHWAY(S)</b> criterion, assessors <b>will</b> consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> <li>Does the proposal provide a credible implementation pathway(s) to deliver public benefit to New Zealand?</li> <li>What is the evidence of strong relationships with relevant end users, beneficiaries, or stakeholders?</li> <li>Is there a mix of complementary skills and experience, within the team, relevant to achieving impact?</li> <li>Is the benefit limited to a single firm or end-user?</li> </ul> <p><b>Note: If the IMPLEMENTATION PATHWAY(S) is limited to a single firm or end-user, the IMPLEMENTATION PATHWAY(S) score must be 1.</b></p>	<p>The implementation pathway(s) will <b>not</b> deliver public benefit to New Zealand. There is <b>no information</b> on the relationships with relevant parties. There are <b>no</b> skills and experience of the team, relevant to achieving impact. <u>Benefit is limited to a single firm or end-user.</u></p> <p>For example, the implementation pathways are <b>not credible</b> because the evidence of strong relationships with relevant parties is <b>missing</b>.</p>	<p>The implementation pathway(s) are <b>inadequate</b> for the delivery of public benefit to New Zealand. The strength of relationships with relevant parties is <b>insufficient</b>. The skills and experience of the team, relevant to achieving impact, is <b>doubtful</b>. Benefit is not limited to a single firm or end-user.</p> <p>For example, the implementation pathways are <b>inadequate</b> because the evidence of strong relationships with relevant parties is <b>poor</b>.</p>	<p>The implementation pathway(s) are <b>incomplete</b> for the delivery of public benefit to New Zealand. The strength of relationships with relevant parties is <b>limited</b>. The skills and experience of the team, relevant to achieving impact, is <b>uncertain</b>. Benefit is not limited to a single firm or end-user.</p> <p>For example, the implementation pathways are <b>limited</b> because the evidence of strong relationships with relevant parties is <b>uncertain</b>.</p>	<p>The implementation pathway(s) are <b>acceptable</b> for the delivery of public benefit to New Zealand. The strength of relationships with relevant parties is <b>suitable</b>. The skills and experience of the team, relevant to achieving impact, is <b>adequate</b>. Benefit is not limited to a single firm or end-user.</p> <p>For example, the implementation pathways are <b>acceptable</b> because the evidence of strong relationships with relevant parties is <b>sufficient</b>.</p>	<p>The implementation pathway(s) are <b>clear</b> for the delivery of public benefit to New Zealand. The strength of relationships with relevant parties is <b>good</b>. The skills and experience of the team, relevant to achieving impact, is <b>significant</b>. Benefit is not limited to a single firm or end-user.</p> <p>For example, the implementation pathways are <b>clear</b> because the evidence of strong relationships with relevant parties is <b>substantial</b>.</p>	<p>The implementation pathway(s) are <b>very good</b> for the delivery of public benefit to New Zealand. The strength of relationships with relevant parties is <b>high</b>. The skills and experience of the team, relevant to achieving impact, is <b>comprehensive</b>. Benefit is not limited to a single firm or end-user.</p> <p>For example, the implementation pathways are <b>very good</b> because the evidence of strong relationships with relevant parties is <b>comprehensive</b>.</p>	<p>The implementation pathway(s) are <b>excellent</b> for the delivery of public benefit to New Zealand. The strength of relationships with relevant parties is <b>outstanding</b>. The skills and experience of the team, relevant to achieving impact, is <b>exemplary</b>. Benefit is not limited to a single firm or end-user.</p> <p>For example, the implementation pathways are <b>excellent</b> because the evidence of strong relationships with relevant parties gives <b>total confidence</b>.</p>
<p>When assessing proposals where Vision Mātauranga is considered relevant, assessors <b>should also</b> consider how the proposal has addressed each of the following questions:</p> <ul style="list-style-type: none"> <li>To what extent during implementation does the team engage with key Māori stakeholders?</li> <li>To what extent is Māori knowledge used to deliver the benefits of the proposal?</li> <li>For research specifically involving Māori people, knowledge or resources, is appropriate resourcing included?</li> </ul>	<p>For example, where Vision Mātauranga is considered relevant, there is <b>no credible</b> engagement with Māori partners.</p>	<p>For example, where Vision Mātauranga is considered relevant, there is <b>little</b> engagement with Māori partners.</p>	<p>For example, where Vision Mātauranga is considered relevant, there is <b>some</b> engagement with Māori partners.</p>	<p>For example, where Vision Mātauranga is considered relevant, there is <b>adequate</b> engagement with Māori partners.</p>	<p>For example, where Vision Mātauranga is considered relevant, there is <b>significant</b> engagement with Māori partners.</p>	<p>For example, where Vision Mātauranga is considered relevant, there is <b>very good</b> engagement with Māori partners.</p>	<p>For example, where Vision Mātauranga is considered relevant, there is <b>outstanding</b> engagement with Māori partners.</p>

## IMPACT ASSESSMENT SCORE GRID: Research Programmes Full Proposals – Transform Impact category

### SCORE AND KEYWORDS:

<p><b>BENEFIT TO NEW ZEALAND</b></p> <p><b>CRITERION:</b> Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital.</p>	<p><b>1</b> (Low quality)</p> <p><i>None Not /no Not fit for purpose Negligible Missing Not credible</i></p>	<p><b>2</b></p> <p><i>Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking</i></p>	<p><b>3</b></p> <p><i>Limited Uncertain Some Partial Incomplete Lacks detail Possibly</i></p>	<p><b>4</b></p> <p><i>Acceptable Sufficient Suitable Adequate Reasonably</i></p>	<p><b>5</b></p> <p><i>Significant Good Substantial Well Clear Large</i></p>	<p><b>6</b></p> <p><i>Strong High Comprehensive Very good Very well Certain Extensive</i></p>	<p><b>7</b> (High quality)</p> <p><i>Excellent Exemplary Impressive Outstanding Definitely</i></p>
<p>When assessing the <b>BENEFIT TO NEW ZEALAND</b> criterion, assessors will consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> <li>Will the technology, process, practice, business model, or policy enabled by the research result in Radical Change and/or a leap in performance over the status quo? And by how much?</li> <li>Will the ultimate impact of the new technology, process, practice, business model or policy transform New Zealand’s economy, society or environment? And by how much?</li> <li>To what extent will the outcomes of the proposal align with one or more areas of future value, growth or critical need for New Zealand?</li> <li>Will the research deliver additional value for New Zealand?</li> <li>Does the research have clear direct and indirect benefits or effects for New Zealand individuals, communities or society as a whole?</li> </ul> <p>To avoid doubt, the focus of assessment for proposals in the ‘Transform’ category is on the nature rather than the size of the impact. Evidence of a large impact will not be taken as conclusive evidence of a transformational impact.</p>	<p>The changes enabled by the research will <b>not</b> result in a Radical Change and/or leap in performance. The potential benefits for New Zealand are <b>not</b> transformational in nature. The Relevance of Benefits and additional value delivered to New Zealand is <b>missing</b>.</p> <p>For example, the proposed work will <b>not</b> lead to a change to the status quo.</p>	<p>The changes enabled by the research are <b>insufficient</b> to result in a radical change and/or leap in performance. The potential benefits for New Zealand is <b>unlikely</b> to be transformational in nature. The Relevance of Benefits and additional value delivered to New Zealand is <b>lacking</b>.</p> <p>For example, the proposed work is <b>unlikely</b> to lead to a change to the status quo.</p>	<p>The changes enabled by the research are too <b>limited</b> to result in a radical change and/or leap in performance. The potential benefits for New Zealand are <b>possibly</b> transformational in nature. The Relevance of Benefits and additional value delivered to New Zealand is <b>uncertain</b>.</p> <p>For example, the proposed work will <b>possibly</b> lead to a change to the status quo.</p>	<p>The changes enabled by the research are <b>sufficient</b> to result in a radical change and/or leap in performance. The potential benefits for New Zealand is <b>sufficiently</b> likely to be transformational in nature. The Relevance of Benefits and additional value delivered to New Zealand is <b>acceptable</b>.</p> <p>For example, the proposed work is <b>reasonably</b> likely to lead to a change to the status quo.</p>	<p>The changes enabled by the research are <b>significant</b> enough to result in a radical change and/or leap in performance. The potential benefits for New Zealand is <b>clearly</b> likely to be transformational in nature. The Relevance of Benefits and additional value delivered to New Zealand is <b>large</b>.</p> <p>For example, the proposed work is <b>clearly</b> likely to lead to a change to the status quo.</p>	<p>The changes enabled by the research are <b>extensive</b> enough to result in a radical change and/or leap in performance. The potential benefits for New Zealand is <b>strongly</b> likely to be transformational in nature. The Relevance of Benefits and additional value delivered to New Zealand is <b>strong</b>.</p> <p>For example, the proposed work is <b>very</b> likely to lead to a change to the status quo.</p>	<p>The changes enabled by the research <b>will</b> result in a radical change and/or leap in performance. The potential benefits for New Zealand <b>is</b> transformational in nature. The Relevance of Benefits and additional value delivered to New Zealand is <b>excellent</b>.</p> <p>For example, the proposed work will <b>definitely</b> lead to a change to the status quo.</p>
<p>When assessing proposals where Vision Mātauranga is considered relevant, assessors should also consider how the proposal has addressed each of the following questions:</p> <ul style="list-style-type: none"> <li>Does the research address an issue of importance for Māori? What is the extent of the benefits?</li> <li>Does the proposal identify potential benefits for Māori?</li> </ul>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will <b>not</b> be of value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will be of <b>little</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>some</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>sufficient</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>significant</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>certain</b> value for Māori.</p>	<p>For example, where Vision Mātauranga is considered relevant, the benefits of the research will have <b>impressive</b> value for Māori.</p>

Definition of terms, as specified in the [Gazette Notice](#)

**Relevance of Benefits** means the extent of alignment with one or more areas of future value, growth or critical need for New Zealand.

**Radical Change** means “altering the fundamental nature of something”.

**IMPACT ASSESSMENT SCORE GRID: Research Programmes Full Proposals – Transform Impact category**

**SCORE AND KEYWORDS:**

**IMPLEMENTATION PATHWAY(S)**

**CRITERION:** Proposals should demonstrate understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders. The team should include the mix of complementary skills and experience relevant to achieving impact in the proposed impact area.

When assessing the **IMPLEMENTATION PATHWAY(S)** criterion, assessors **will** consider how well the proposal addresses each of the following questions:

- › Does the proposal demonstrate an understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand?
- › Does the proposal demonstrate that the proposed research will deliver public benefits to New Zealand, and not be limited to a single firm or end-user?
- › What is the strength of the relationships with relevant end users, beneficiaries, or stakeholders?
- › Is the mix of skills and experience within the team, complementary and relevant to achieving impact of what is proposed?

**Note:** If the **IMPLEMENTATION PATHWAY(S)** is limited to a single firm or end-user, the **IMPLEMENTATION PATHWAY(S)** score must be 1.

When assessing proposals where Vision Mātauranga is considered relevant, assessors **should also** consider how the proposal has addressed each of the following questions:

- › To what extent during implementation does the team engage with key Māori end users, beneficiaries and stakeholders?
- › To what extent is Māori knowledge used to deliver the benefits of the proposal?
- › For research specifically involving Māori people, knowledge or resources, is appropriate resourcing included?

	<b>1</b> (Low quality) <i>None Not /no Not fit for purpose Negligible Missing Not credible</i>	<b>2</b> <i>Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking</i>	<b>3</b> <i>Limited Uncertain Some Partial Incomplete Lacks detail Possibly</i>	<b>4</b> <i>Acceptable Sufficient Suitable Adequate Reasonably</i>	<b>5</b> <i>Significant Good Substantial Well Clear Large</i>	<b>6</b> <i>Strong High Comprehensive Very good Very well Certain Extensive</i>	<b>7</b> (High quality) <i>Excellent Exemplary Impressive Outstanding Definitely</i>
	The proposal demonstrates no understanding of the enablers and barriers in potential implementation pathway(s). The impact relationships are not relevant. There are no skills and experience of the team, relevant to achieving impact. <u>Benefit is limited to a single firm or end-user.</u>	The proposal demonstrates <b>insufficient</b> understanding of the enablers and barriers in potential implementation pathway(s). The impact relationships are of <b>little</b> relevance. The skills and experience of the team, relevant to achieving impact, is <b>doubtful</b> . Benefit is not limited to a single firm or end-user.	The proposal demonstrates <b>some</b> understanding of the enablers and barriers in potential implementation pathway(s). The impact relationships are <b>possibly</b> relevant. The skills and experience of the team, relevant to achieving impact, is <b>limited</b> . Benefit is not limited to a single firm or end-user.	The proposal demonstrates <b>acceptable</b> understanding of the enablers and barriers in potential implementation pathway(s). The impact relationships have <b>adequate</b> relevance. The skills and experience of the team, relevant to achieving impact, is <b>adequate</b> . Benefit is not limited to a single firm or end-user.	The proposal demonstrates <b>credible</b> understanding of the enablers and barriers in potential implementation pathway(s). The impact relationships have <b>significant</b> relevance. The skills and experience of the team, relevant to achieving impact, is <b>significant</b> . Benefit is not limited to a single firm or end-user.	The proposal demonstrates <b>comprehensive</b> understanding of the enablers and barriers in potential implementation pathway(s). The impact relationships are <b>very</b> relevant. The skills and experience of the team, relevant to achieving impact, is <b>comprehensive</b> . Benefit is not limited to a single firm or end-user.	The proposal demonstrates <b>exemplary</b> understanding of the enablers and barriers in potential implementation pathway(s). The impact relationships are <b>extremely</b> relevant. The skills and experience of the team, relevant to achieving impact, is <b>exemplary</b> . Benefit is not limited to a single firm or end-user.
	For example, there is <b>none</b> of the required skills and experience within the team to achieve impact.	For example, there is a <b>poor</b> mix of skills and experience within the team to achieve impact.	For example, there is a <b>limited</b> mix of skills and experience within the team to achieve impact.	For example, there is a <b>reasonable</b> mix of skills and experience within the team to achieve impact.	For example, there is a <b>good</b> mix of relevant skills and experience within the team to achieve impact.	For example, there is an <b>extensive</b> mix of relevant skills and experience within the team to achieve impact.	For example, there is an <b>impressive</b> mix of skills and experience within the team to achieve impact.
	For example, where Vision Mātauranga is considered relevant, there is <b>no credible</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>little</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>some</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>adequate</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>significant</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>very good</b> engagement with Māori partners.	For example, where Vision Mātauranga is considered relevant, there is <b>outstanding</b> engagement with Māori partners.

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# Using IMS to view assigned proposals and record Assessments

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This section details how to access the proposals assigned to you and how to record your assessments. Both of these actions are performed in our secure Information Management System (IMS).

## Accessing IMS

To access IMS you require:

- › Chrome or Firefox
- › Your IMS Username and Password.

**For IMS support, contact us Monday to Friday between 8.30am and 4.30pm (New Zealand time):**

- › email [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)
- › call 0800 693 778

## To log in to IMS

### For first time Assessors:

1. You will receive an email containing your IMS username and a temporary password. Click the [IMS link](#) in this email. The IMS access agreement displays. This agreement details the terms and conditions governing the use of IMS.

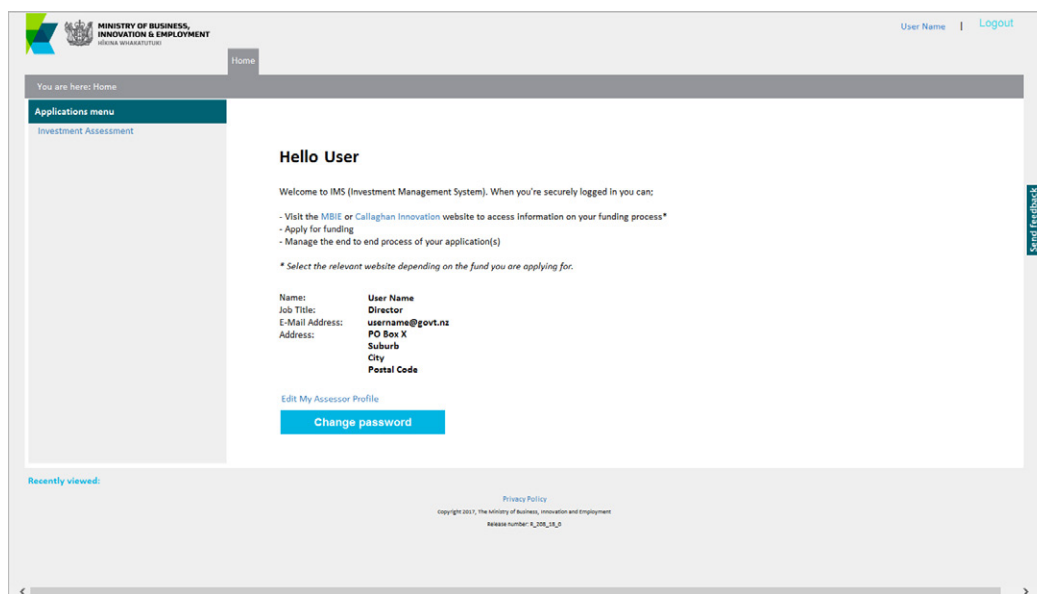
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Your temporary password will expire in 72 hours and can only be used once. The access agreement will only appear once, the first time you log in.

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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 **IMS Home** tab displays.

Five or more failed log in attempts will automatically lock you out of the system. If this occurs, contact the Investment Operations Team via [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz) and ask for your account to be unlocked.



The Home tab of IMS.

For previous Assessors:

1. Click the **MBIE IMS** link ([ims.msi.govt.nz/](https://ims.msi.govt.nz/)).
2. Enter your Username and Password.
3. Click the **Login Securely** button. The **IMS Home** tab displays.

### To log out of IMS

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

## Updating your IMS Details

From the **IMS Home tab**, you can update 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 including Diversity information 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**.



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

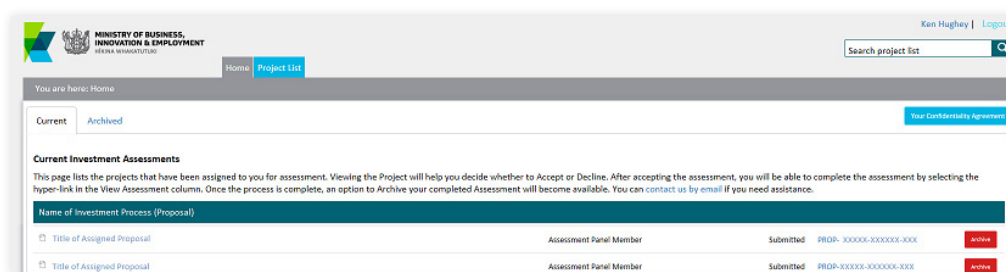
## Accepting/Declining Assigned Proposals

### 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 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 Endeavour Fund 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 one or more of the following headings:

  - › **2021 Endeavour Fund – Smart Ideas (Concepts)**
  - › **2021 Endeavour Fund – Smart Ideas (Proposals)**
  - › **2021 Endeavour Fund – Research Programmes (Proposals)**
4. For the first proposal listed, click the link under **View Project**. A **summary** of the proposal opens in a new browser tab.
5. Read this **summary** and:
  - › If you **decide a direct conflict of interest** exists:
    1. Select the browser tab displaying IMS.
    2. Click the **Decline** button adjacent to the proposal.
    3. In the resulting dialog box, enter the reason for declining the proposal and then click the **Save** button. The declined proposal is automatically removed from your list of assigned projects.
    4. Close the proposal summary tab.
  - › If you decide an **indirect conflict of interest** exists, close the proposal summary and email MBIE at [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz) to explain the reason why.

- › If 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.

- Repeat the above steps for all the proposals assigned to you in your list.

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**You cannot view the full details of an assigned proposal until you have accepted to assess it.**

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## Viewing and Printing Assigned Proposals

- Access the **Home** tab > **Investment Assessment** page > **Current** tab.
- Click a proposal's **View Project** link (project title). The **Full Proposal** (in PDF form) displays in a separate browser tab.
- From here you can view, print and if desired, download the **Full Proposal** to your computer to enable access without having to log into IMS.

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The proposal number is prominently displayed in the header of the proposal. Proposals must be kept confidential. **You are required to:**

- › ensure the safe keeping of all proposals and related documents (eg 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

### To record your assignments

- Access the **Home** tab > **Investment Assessment** page > **Current** tab.
- Click a proposal's **View Assessment** link (project number). A **Scoring** page opens in a separate browser tab.

Project: CONC-XXXX-XXX-XXXXX

Home > Assessments > ASMT-XXXX (In progress)

Assessment scores and comments

Excellence: Science score

Excellence: Team score

Vision Mātauranga

Relevance in your opinion

Applicant recognition

How well addressed

Vision Mātauranga comments

Assessor alignment

Self-rating

**Excellence: Science score**

Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:

a. progress and disseminate new knowledge;  
 b. possess high scientific/technical risk, novelty or innovative approaches;  
 c. are well-positioned in the domestic and international research context; and  
 d. have a well-managed research plan and credible approach to risk management.

Score 1 (low quality) to score 7 (high quality)

Excellence: Science score \*

Excellence: Science comment (280 words) \*

**Excellence: Team score**

The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.

Score 1 (low quality) to score 7 (high quality)

Excellence: Team score \*

Excellence: Team comment (280 words) \*

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

You **must**:

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

3. Enter your assessment scores and commentary **into the relevant fields**. The areas you are required to respond to are detailed in the **Navigation** panel on the left hand side of the screen. Either scroll down the page to view and enter all fields or click on a link in the panel for direct access.

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 screenshot shows a web application interface for an assessment. The top navigation bar includes 'Home > Assessments > ASMT-XXXXX (in progress)'. On the left, a 'Navigation' panel lists various assessment categories: 'Assessment scores and comments', 'Vision Mātauranga', and 'Assessor alignment'. The main content area is divided into two sections: 'Excellence: Science score' and 'Excellence: Team score'. Each section contains a dropdown menu for selecting a score (ranging from 1 to 7) and a text input field for providing assessment comments. A 'Save' and 'Undo' button is visible at the bottom right of the interface.

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

- if requested to do so, they may be made available under the Official Information Act 1982.
- your comments form the basis of feedback to the Applicants.
- word limits for comments apply; these are shown in each **Comment** field.

Comment only to what you have been asked to assess, ie. Excellence or Impact.

When responding to the Vision Mātauranga questions, where there is a divergence between your view and the Applicant's view as to whether or not Vision Mātauranga applies, give reasons for this. If Vision Mātauranga is not relevant to the proposal, and this is consistent with the Applicant's view, the only comment you need to make is "Vision Mātauranga is not relevant to that proposal".



You will also be asked to rate:

- › how closely your area(s) of expertise aligns with the proposal; whether **Aligned, Well aligned, or Very well aligned**.
- › if applicable to your assessment, the level of scientific or technical risk in the proposal; whether **Low, Medium or High**.

4. When your assessment is complete (*you have recorded your assessment rating and comment(s) into **all of the fields***), click the **Submit** button. If you do not record an answer for every question, you will not be able to submit your assessment.
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 commentary.

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.
7. Once you have completed and submitted all your proposals, click the red **Archive** button for each proposal. The proposals will be automatically removed from your list of assignments.

View Project	Assessment Role	Assessment Stage	Status	View Assessment	Action
Application Name	Assessor	Excellence	In progress	CONC-XXXX-XXXXXX-XXXXXX	Submit



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


View Project	Assessment Role	Assessment Stage	Status	View Assessment	Action
Application Name	Assessor (lead)	Excellence	Submitted	CONC-50422-ENDS-UGA	Unarchive

**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 of the scoring page.

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

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

## Recording Lead Assessor Summaries

Lead Assessors are sent email alerts when they can begin to enter their summary comments for a proposal. A Lead Assessor summary describes and summarises the individual Assessor scores and comments.

### Recording Assessment Summary Comments

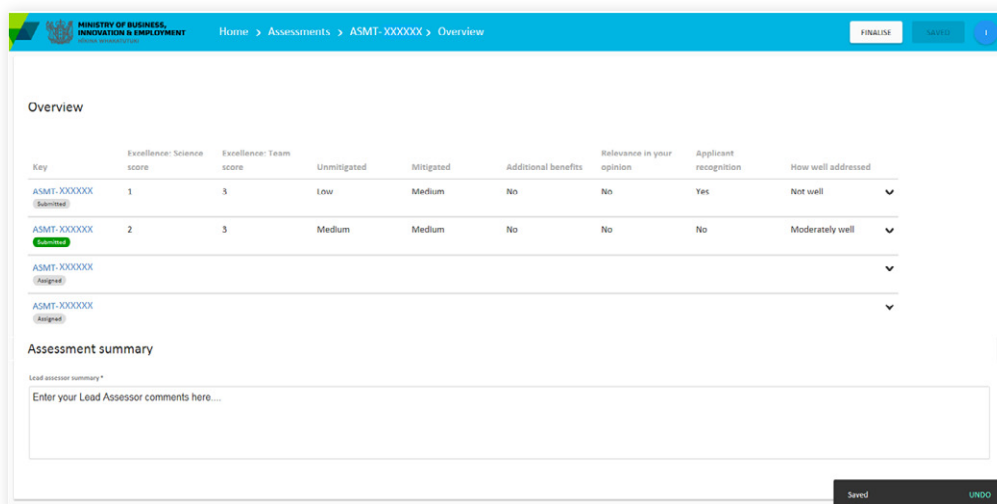
This is for all proposals assigned to you.

#### To record your Summary comment:

1. Access the **Home** tab > **Investment Assessment** page > **Current** tab.
2. Click a proposal’s **View Assessment** link (project number) and then click the **View All** button.

This button is **only available to Lead Assessors** when they have been alerted to enter their summary comments for a proposal.

A summary screen detailing the assessment comments recorded for that proposal displays.



MINISTRY OF BUSINESS, INNOVATION & EMPLOYMENT  
Home > Assessments > ASMT-XXXXXX > Overview

**Overview**


Key	Excellence: Science score	Excellence: Team score	Unmitigated	Mitigated	Additional benefits	Relevance in your opinion	Applicant recognition	How well addressed
ASMT-XXXXXX <small>(Submitted)</small>	1	3	Low	Medium	No	No	Yes	Not well
ASMT-XXXXXX <small>(Submitted)</small>	2	3	Medium	Medium	No	No	No	Moderately well
ASMT-XXXXXX <small>(Assigned)</small>								
ASMT-XXXXXX <small>(Assigned)</small>								

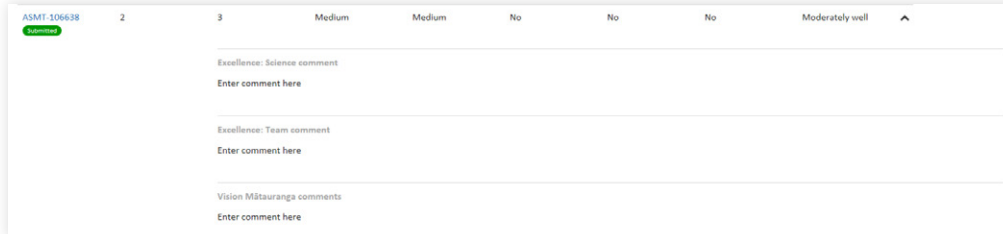
**Assessment summary**

Lead assessor summary\*

Enter your Lead Assessor comments here...

Saved UNDO

A separate line displays the recorded assessment of each Assessor assigned to the proposal. Click the symbol  (located to the right of each assessment row) to expand the display and view their individual comments.



You can also click the proposal's number to open and view the **Scoring** page. The status of each assessment is shown – the Lead is displayed in Green.

3. Enter your assessment comments in the **Assessment Summary** field and when complete, click **Finalise**.
4. A summary dialog displays with your assessment comments. If satisfactory to you, click the **Finalise** button. If not, click the **Back** button to return and modify.

### Recording Revised Scores and Rationale for Research Programmes Impact assessments

This is for Research Programmes Impact assessments only.


#### To record your Revised Scores and rationale:

1. Access the **Home** tab > **Investment Assessment** page > **Current** tab.
2. Click a proposal's **View Assessment** link under the **View Assessment** heading.

This link is **only available** to you as **Lead Assessor** once you have been alerted to enter your summary comments for a proposal(s).

A summary screen detailing the assessment comments recorded for that proposal displays.

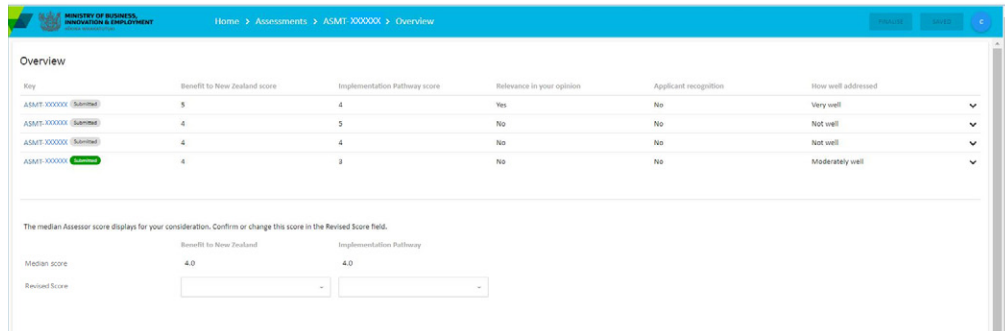
A separate line displays the recorded assessment of each Assessor assigned to the proposal.

Click the symbol  (located to the right of each assessment row) to expand the display and view their individual comments.

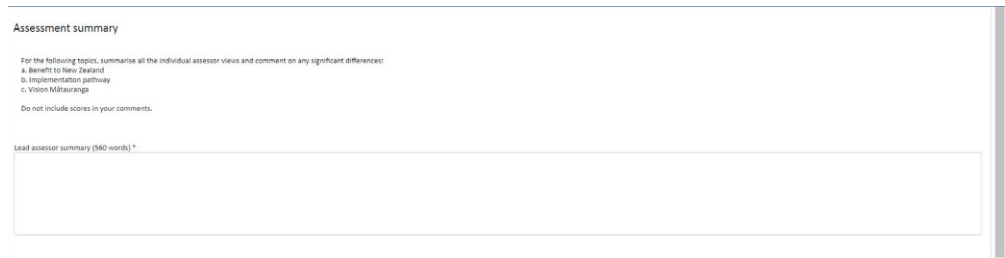
You can also click the proposal's number to open and view the **Scoring** page. The status of each assessment is shown – the Lead is displayed in Green.

3. The median Assessor scores for 'Benefit to New Zealand' and 'Implementation Pathway(s)' criteria display for your consideration. **Confirm** or **change** these scores in the **Revised Score** field.

**Note** that MBIE calculates and uses the **median** of the individual assessment scores. **This is not the mean (average) and is used to reduce the effect of outliers.**



4. In the **Rationale** field, enter the rationale for your **Revised Score**.
5. In the **Assessment Summary** field, enter your Assessor summary comments.



6. When complete, click **Finalise**.
7. A summary dialog displays with your assessment comments. If satisfactory to you, click the **Finalise** button. If not, click the **Back** button to return and modify.

New Zealand's science and innovation systems are critical to boosting the number of knowledge-intensive, internationally-connected firms. The Ministry of Business, Innovation & Employment (MBIE) works to lift business expenditure on research and development, improve the benefits to the wider economy from business development assistance, and harness the potential of the digital economy.

MBIE's funding and support programmes aim to build a high-performing science and innovation system that will transform New Zealand into a more diverse, technologically advanced, smart nation.

For more information on how we invest, see our [Science and Innovation](#) webpages.

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