



MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT  
HĪKINA WHAKATUTUKI

# EQUITY, DIVERSITY & INCLUSION CAPABILITY FUND

## 2021 ASSESSMENT GUIDELINES



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

## **Ministry of Business, Innovation and Employment (MBIE)**

### **Hīkina Whakatutuki – Lifting to make successful**

MBIE develops and delivers policy, services, advice and regulation to support economic growth and the prosperity and wellbeing of New Zealanders. MBIE combines the former Ministries of Economic Development, Science + Innovation, and the Departments of Labour, and Building and Housing.

#### **More information**

Information, examples and answers to your questions about the topics covered here can be found on our website, [www.mbie.govt.nz](http://www.mbie.govt.nz), or by calling us free on 0800 20 90 20.

#### **Disclaimer**

This document is a guide only. It should not be used as a substitute for legislation or legal advice. The Ministry of Business, Innovation and Employment is not responsible for the results of any actions taken on the basis of information in this document, or for any errors or omissions.

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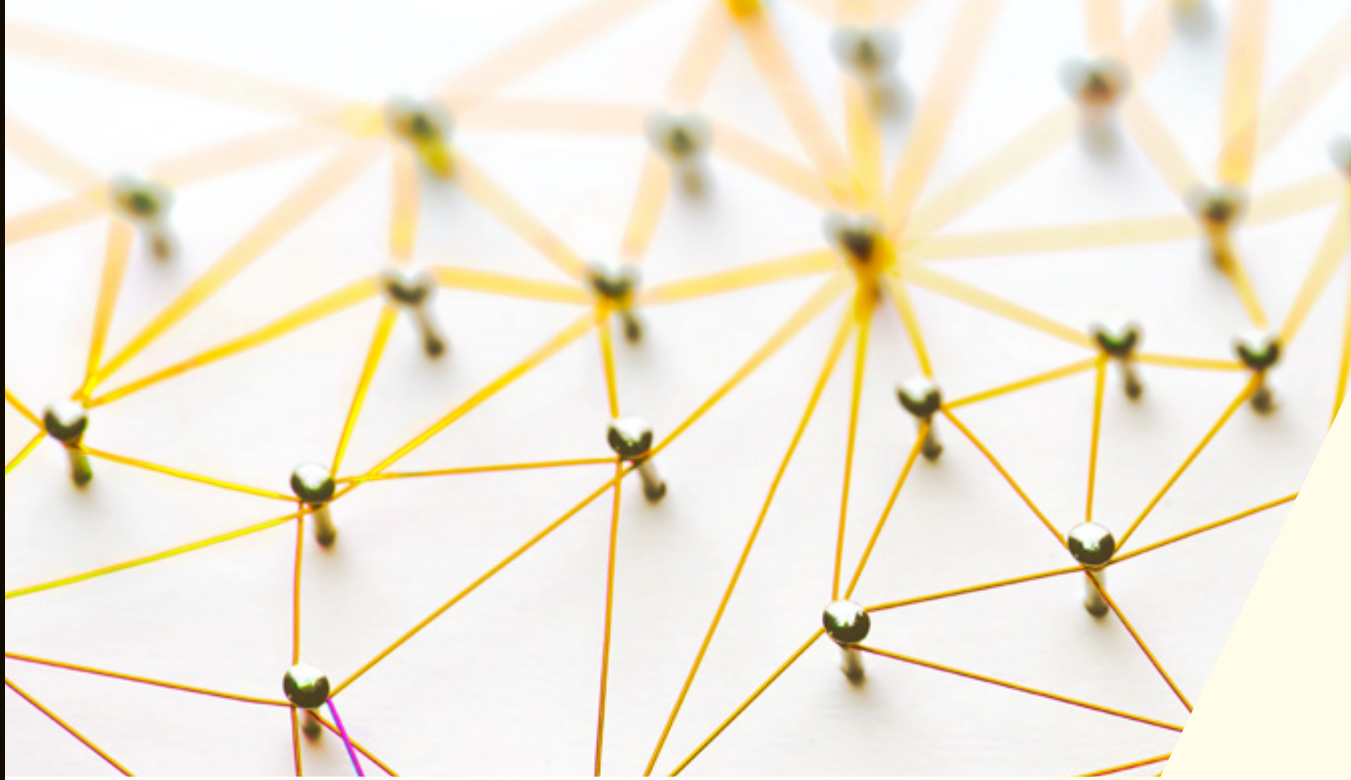
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## FOREWORD

Tēnā koutou

Thank you for agreeing to assess Equity, Diversity and Inclusion Capability Fund proposals submitted for 2021 funding. This funding aims to broaden and strengthen the presence of, and support for, our diverse community in Aotearoa New Zealand's research sector.

These guidelines detail what is involved in the assessment of Equity, Diversity and Inclusion Capability Fund proposals and the role that you will play in that process. Informed assessment of proposals is a critical aspect of our investment process, as it forms the basis of our funding recommendations.

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

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

# INTRODUCTION

As an Assessor, you are critical in us identifying the proposals that have the greatest potential to meet the investment objectives of the Equity, Diversity and Inclusion Capability Fund.

Mā roto i te Tahua Āheinga EDI, e rapu ana mātou ki te tautoko ā-pūtea i ngā kaupapa e tautoko ana i ngā rōpū rangahau e tautuhi ana, e, wāwāhi ana hoki i ngā tauāraitanga o te whakapoapoa, te pupuri me te whakatipu i tētahi ohu mahi mana taurite, kanorau, whakaurunga hoki.

Through the EDI Capability Fund, we are seeking to fund projects that support research organisations to identify and break down barriers to attracting, retaining and growing an equitable, diverse and inclusive workforce.

These guidelines detail the assessment process and the key assessment roles and responsibilities.

We recommend that you read this document in conjunction with the Equity, Diversity and Inclusion Capability Fund Investment Plan and Call for Proposals 2021 along with other relevant information on the Fund's webpages.

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

**Email** Assessment queries: [EDICapabilityFund@mbie.govt.nz](mailto:EDICapabilityFund@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)



# ASSESSMENT ROLES AND RESPONSIBILITIES

The following outlines the key roles and responsibilities involved in the assessment of Equity, Diversity and Inclusion Capability Fund proposals.

## ASSESSOR

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

- › Participating in an online assessor briefing.
- › Declaring any conflicts of interest and adhering to our confidentiality and privacy policies.
- › Reading and assessing assigned proposals, allocating assessment scores that reflect your assessments (using a 7-point scoring system against the assessment criteria) and then recording your scores and supporting comments in our Investment Management System (IMS), a secure online portal.
- › Attending a virtual Assessment Panel meeting where:
  - › the preliminary scores and comments are reviewed,
  - › proposals are scored and ranked, and
  - › advice on the assessment results is recorded by us.

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

## ASSESSMENT PANEL CHAIR

The role of the Chair is to:

- › Prioritise the discussion of the Panel meeting taking into account advice from the Panel members and the preliminary ranked assessment scores.
- › Identify and take appropriate action over conflicts of interest.
- › Allow time for informed discussion and equitable decision-making and mediate views if required.
- › Ensure that:
  - › the Scoring system is followed, and
  - › the Panel develops the appropriate commentary on the proposals to inform funding recommendations and to enable feedback to applicants.
- › Lead the development of a Panel Meeting Report that provides MBIE with advice regarding the Fund; including funding recommendations.

## CONFIDENTIALITY AND PRIVACY

To ensure confidentiality, you must:

- › Ensure the safekeeping of all proposals and related documents (e.g., workbooks, notes, etc.).
- › Destroy any remaining documentation or return it to MBIE at the end of the assessment process.
- › Not correspond with or discuss the contents or assessment of any proposal with the applicant or any other party. If an applicant contacts you about a proposal:
  - › direct them to us, and
  - › email us ([EDICapabilityFund@mbie.govt.nz](mailto:EDICapabilityFund@mbie.govt.nz)) 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 policies 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 therefore information relating to an assessment may be released if we are requested to do so under the Act.

## CONFLICTS OF INTEREST

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

Before starting to assess, you must check your list of assigned proposals for any conflicts of interest and either accept or decline the assignments as appropriate (see page 16 for details on how to do this).

### 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, for example, family members, or
  - › a collaborator or in some other way involved with an applicant's proposal.
- › 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 proposal.
  - › have a personal and/or professional relationship with one of the applicants, for example, 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.

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



## Reporting Identified Conflicts

All conflicts of interest must be declared to MBIE.

If you identify a direct conflict with a proposal that has been assigned to you, you must decline the assignment. If you identify an indirect conflict, email us at [EDICapabilityFund@mbie.govt.nz](mailto:EDICapabilityFund@mbie.govt.nz) with the details for further discussion before accepting or declining the assignment.

## Handling Conflicts of Interest During the Assessment Panel Meeting

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

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

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

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

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

# THE ASSESSMENT PROCESS

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

## KEY DATES

- Week of 19 April 2021 ..... Assessor briefing
- By 27 April 2021 ..... Proposals assigned
- By 12 noon, 4 May 2021 ..... Assessment recorded in IMS
- Between 11 and 17 May 2021 ..... Virtual Assessment Panel meeting sessions of up to four hours.  
 Dates to be confirmed depending on number of proposals.
- June 2021 ..... MBIE decisions on proposals announced

## TIME COMMITMENT

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

UP TO:	TO:
Half a day	Read through these guidelines and background documents, and participate in an online assessor briefing.
4 days	Read your assigned proposals, assign scores and enter those scores with comment in IMS.
Up to a day, across 4 sessions	Attend the virtual Assessment Panel meeting(s) hosted by MBIE.

## ASSESSOR BRIEFING

Prior to performing assessments, assessors are required to attend a one hour online briefing session. The purpose of this session is to familiarise you with the:

- › Assessment tools and resources that are available.
- › Content of the Equity, Diversity and Inclusion Capability Fund Call for Proposals 2021 including the structure of the application form, the assessment criteria, and the scoring guide.

Information about this briefing will be sent to you separately.

## HOW AND WHEN PROPOSALS ARE ASSIGNED

We will inform you of your assigned proposals by **27 April 2021**.

You use IMS to:

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

Refer to page 15 for further instruction on IMS.

## HOW AND WHEN ASSESSMENTS ARE RECORDED

Your assessment scores and comments are recorded in IMS. This must occur on or before **12 noon, 4 May 2021**. Assessor scores and comments will be collated and used to support discussions during the Panel meeting.

## ASSESSMENT PANEL MEETING

The Panel meets in an online secure meeting, with several four hour sessions between **11 May 2021 and 17 May 2021**. We are working separately to confirm these dates with you. The purpose of this meeting is to:

- › discuss the preliminary assessment scores and supporting comments,
- › score and rank the proposals, and
- › provide consensus commentary and advice on the proposals to be funded.

The Panel's discussion and moderation may take into account any additional information gathered during the assessment process. We record the discussion, the consensus scores and the Panel's assessment. Further details on this meeting will be sent to you closer to the time.

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

## RECOMMENDATIONS AND FUNDING DECISIONS

The Assessment Panel Chair will provide us with a report with the panel's advice on which proposals should be funded. The final funding decision will be made by the General Manager of the Science System Investment and Performance Branch in the Labour, Science and Enterprise Group, MBIE.

Decisions will be publicly announced in **June 2021**. We will provide applicants with general feedback based on the Panel's comments about the overall quality of proposals.

# PERFORMING ASSESSMENTS

Use the following procedure to assess proposals.

## THE ASSESSMENT STEPS

**1. Read and understand the investment goals and signals for the Equity, Diversity and Inclusion Capability Fund set out in the Investment Plan and the assessment criteria in the Call for Proposals 2021.**

Read these guidelines in conjunction with the Equity, Diversity and Inclusion Capability Fund Investment Plan and Call for Proposals 2021 available on our website.

Read and understand the assessment criteria and scoring guide on pages 12, 13 and 14. This guide provides a common interpretation to clarify and help ensure consistency in application and understanding.

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

Accept your assigned proposals or decline if you deem a conflict of interest exists (see page 16 for details).

**3. Read assigned proposals (see page 17 for details).**

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

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

As directed in your assignment, independently score each proposal using the assessment criteria.

For each criterion, select a score ranging from 1 (low quality) to 7 (high quality) from the scoring grid that best matches your assessment AND how well the proposal would deliver on the objectives and outcomes of this investment opportunity.

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

Record your assessment scores in IMS (see page 14) and comment on why you selected those scores. If you have recorded a score of 4 or below your comments should include the specific reasons for deficiency.

Ensure that your comments are accurate, professional, honest, and correlate to the score and description associated with the scoring guide. Do not include names and be mindful that if requested to do so, they may be made available under the Official Information Act.

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

Be wary of 'drift' in your scoring. It is common for scoring to change as Assessors gain experience with the assessment process. If scoring has drifted you may want to review your scores and comments before finalising.

**5. Participate in a virtual Assessment Panel meeting.**

**6. Securely destroy (or return to us) all proposals and supporting documentation when the assessment process is complete.**



# Assessment Criteria and Scoring Guide

Use this scoring guide to help form your assessment and determine a score. When conducting your assessments, exercise your knowledge, judgement and expertise to reach clear and decisions that are sound, fair, objective and evidence-based.

## EXCELLENCE ASSESSMENT CRITERION

## ENHANCING EQUITY, DIVERSITY AND INCLUSION (25% Weighting)

When assessing a proposal, MBIE will consider Enhancing Equity, Diversity and Inclusion as:

- > the suitability of activities in the proposal for the applicant organisation(s) in relation to current organisational EDI strategies and plans,
  - > the involvement of underrepresented groups in the design of the proposal,
  - > fit with the investment objectives of the EDI fund as outlined in the Investment Plan,
  - > the identification of barriers for Māori researchers and consideration of how to address these, in line with the Vision Mātauranga policy, and
  - > the consideration of an intersectional approach when appropriate.
- Note that term “work programme” relates to information provided for the project and/or project plan in the proposal.

### SCORE & KEYWORDS

<p><b>1</b> Low quality</p>	<p><i>None</i> <i>Insufficient</i> <i>Not relevant</i> <i>No information</i> <i>Missing</i></p>	<p><b>6</b></p> <p><i>Certain</i> <i>Enduring</i> <i>Effective</i> <i>Major</i> <i>Comprehensive</i> <i>Strong</i> <i>Experience</i></p>	<p>It is certain that skills will be developed to increase EDI Capability in the organisations involved. The plans are well outlined and comprehensive.</p> <p>Sound, enduring relationships and opportunities will be formed at many levels across many areas.</p> <p>Underrepresented groups have effectively been involved in the design and execution of the proposal.</p> <p>A comprehensive work programme has been developed and will produce major benefits.</p> <p>Significant information is provided. The proposal may deliver enduring impacts and is backed up by relevant and effective evidence.</p> <p>Māori needs and contributions have been very well identified and valued, organisations have effectively partnered with Māori to identify this.</p> <p>A strong intersectional approach has been identified and prioritised.</p> <p>Excellent skills will be developed to increase the development of EDI relevant capability and delivery of an EDI work programme.</p> <p>The work programme is well outlined and robust and will drive a step-change.</p> <p>The barriers and needs of underrepresented groups are exemplary detailed because they have been played a crucial role of the design and execution of the proposals.</p> <p>Sound, enduring relationships will be formed at high levels and a wide range of opportunities will be formed.</p> <p>A comprehensive work programme has been developed and will be effective in producing major, enduring benefits.</p> <p>Excellent information is provided, delivering an exemplary proposal.</p> <p>A high level of confidence / certainty exists that this proposal will successfully deliver on its outcomes.</p> <p>Māori needs and contributions have been outstandingly identified and valued, so that Māori may participate and access all the tools and supports of the RSI system on an equitable basis to others.</p> <p>Intersectional identities are well considered in the intervention, the intervention allows the expression of multiple, simultaneous but equally important identities.</p>
<p><b>2</b></p>	<p><i>Vague</i> <i>Unclear</i> <i>Unlikely</i> <i>Dubious</i> <i>Little relevance</i></p>		
<p><b>3</b></p>	<p><i>Limited benefit</i> <i>impact</i> <i>Minimum</i> <i>acceptable level</i> <i>Uncertainty</i> <i>Lacks detail</i></p>		
<p><b>4</b></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Adequate</i> <i>Suitable</i></p>		
<p><b>5</b></p>	<p><i>Significant</i> <i>Clear</i> <i>Multiple</i> <i>High level</i> <i>Robust</i></p>	<p><b>7</b> High quality</p> <p><i>Excellent</i> <i>Exemplary</i> <i>Detailed</i> <i>Step-change</i> <i>Impressive</i></p>	

**EXCELLENCE ASSESSMENT CRITERION**

**ABILITY TO DELIVER (25% Weighting)**

When assessing a proposal, MBIE will consider Ability to Deliver as:

- > the calibre, experience, and skills of the team that will carry out the work programme,
- > the plan for carrying out the work programme including the proposed approach and steps, resourcing, management arrangements, organisational commitment, mentoring and support arrangements, and measures for the mitigation of challenges, and
- > alignment with the organisations' current EDI plans and the recognition of good practices from any of the participant organisations.

**SCORE & KEYWORDS**

<p><b>1</b> Low quality</p> <ul style="list-style-type: none"> <li>&gt; None</li> <li>&gt; Insufficient</li> <li>&gt; Not relevant</li> <li>&gt; No information</li> <li>&gt; Missing</li> </ul>	<p><b>6</b></p> <p><i>Certain Enduring Effective Major Comprehensive Strong Experience</i></p> <ul style="list-style-type: none"> <li>&gt; The work programme has been very well developed, covers all aspects, and addresses risks. There is evidence it is based on experience with this type of activity.</li> <li>&gt; The research organisation/individual researcher has excellent experience, skills, calibre and track-record that is very well suited to the proposed work.</li> <li>&gt; The proposal is clearly supported by senior leadership.</li> <li>&gt; The parties involved will clearly work well together, with clear common goals and a comprehensive plan to work together.</li> <li>&gt; Significant information is provided. The proposal may deliver enduring impacts and is backed-up by relevant and effective evidence.</li> <li>&gt; There is very good Māori expertise in the team to deliver the work programme.</li> <li>&gt; The proposal strongly supports current EDI plans, leading to organisational change.</li> </ul>
<p><b>2</b></p> <ul style="list-style-type: none"> <li>&gt; Vague</li> <li>&gt; Unclear</li> <li>&gt; Unlikely</li> <li>&gt; Dubious</li> <li>&gt; Little relevance</li> </ul>	<p><b>7</b> High quality</p> <p><i>Excellent Exemplary Detailed Step-change Impressive</i></p> <ul style="list-style-type: none"> <li>&gt; The proposal is exemplary, excellent, comprehensive, and well explained and detailed in all respects and covers all aspects of the work programme.</li> <li>&gt; The experience outlined is the best fit for the proposed work with skills excellent and appropriate to the objectives of the proposal.</li> <li>&gt; Senior leadership is championing an EDI step-change.</li> <li>&gt; The parties involved will work together seamlessly and can point to a record of successful collaboration. They will achieve the proposed outputs.</li> <li>&gt; A high level of confidence / certainty exists that this proposal will successfully deliver on its outcomes.</li> <li>&gt; There is outstanding Māori expertise in the team to deliver the proposed work programme.</li> <li>&gt; The proposal enhances current EDI plans, leading to a step-change.</li> </ul>
<p><b>3</b></p> <ul style="list-style-type: none"> <li>&gt; Limited benefit / impact</li> <li>&gt; Minimum acceptable level</li> <li>&gt; Uncertainty</li> <li>&gt; Lacks detail</li> </ul>	
<p><b>4</b></p> <ul style="list-style-type: none"> <li>&gt; Acceptable</li> <li>&gt; Sufficient</li> <li>&gt; Adequate</li> <li>&gt; Suitable</li> </ul>	
<p><b>5</b></p> <ul style="list-style-type: none"> <li>&gt; Significant</li> <li>&gt; Clear</li> <li>&gt; Multiple</li> <li>&gt; High level</li> <li>&gt; Robust</li> </ul>	

**IMPACT ASSESSMENT CRITERION**

**IMPACT (50% Weighting)**

When assessing a proposal, MBIE will consider Impact as:

- > the level of commitment from senior leadership,
- > how short and medium term outcomes will be achieved, and who will use or benefit from them,
- > the longer term impacts and benefits achieved after the intervention, including longer-term collaborative approaches beyond the term of the proposed work programme,
- > the impact on one or more of the investment signals: commit, analyse, act, collaborate, and
- > a clear plan to evaluate the initiative and to embed EDI into normal practice.

**SCORE & KEYWORDS**

<p><b>1</b> Low quality</p>	<p>None Insufficient Not relevant No information Missing</p> <p>Vague Unclear Unlikely Dubious Little relevance</p>	<p>&gt; There is insufficient detail in the proposal about results, impacts or outcomes expected and the longer-term benefits for the proposal partners. &gt; There is little or no information or evidence to adequately assess the feasibility of achieving the proposed benefits and outcomes or benefit is limited to a single end user. &gt; The proposal does not show impact in the areas reflected on the investment signals. &gt; The proposal does not mention how to evaluate the initiative and to embed EDI into normal practice. &gt; The reasons for undertaking the work programme are not well expressed or appear to have little relevance to specific EDI needs or opportunities. &gt; Short and medium outcomes are unlikely to be produced or will be insignificant &gt; The long term impacts are not clearly specified or unlikely to be achieved. &gt; The information provided in the proposal is unclear or not supported, there is not clear alignment with the investment signals. &gt; There are no clear plans for evaluation or to incorporate EDI into every day practice after the work programme is complete.</p>	<p><b>6</b></p>	<p>Certain Enduring Effective Major Comprehensive Strong Experience</p>	<p>&gt; The proposed work programme is comprehensive. It is likely to have outcomes with relevance to specific EDI needs or opportunities. &gt; There is a strong analysis to identify the most pressing opportunities/needs and the ways identified to address those opportunities/needs are likely to be effective. Numerous enduring benefits may emerge. &gt; The proposal strongly links impact to one or more of the investment signals. &gt; Significant information is provided. The work programme may deliver enduring impacts and is backed-up by relevant and effective evidence. &gt; The proposal reflects actions that create a positive culture change and enduring transformation for their workforce in terms of EDI after completion.</p>
<p><b>3</b></p>	<p>Limited benefit / impact Minimum acceptable level Uncertainty Lacks detail</p>	<p>&gt; The reasons for undertaking the work programme demonstrate some potential but there is some uncertainty as to whether and how this will happen. &gt; It is likely benefits will be produced but they will be limited and it is unclear how benefits will be realised. &gt; Some useful information is provided to adequately assess the feasibility of achieving the proposed benefits and outcomes, however significant gaps and lack of detail remain. &gt; The proposal mentions the investment signals but lacks detail in the impact produced. &gt; Although it is mentioned, there is a lack of detail in plans for evaluating the initiative and embedding EDI into normal practice.</p>	<p><b>7</b> High quality</p>	<p>Excellent Exemplary Detailed Step-change Impressive</p>	<p>&gt; The work programme has excellent potential. This development of science and innovation potential will represent a real step change with outcomes of relevance to specific EDI needs or opportunities. &gt; The opportunities/needs addressed are the most important and substantial and there is a high level of certainty that they will be addressed in the most effective manner. Benefits will be produced that will be numerous and enduring for a range of parties. &gt; The work programme reflects an excellent impact in one or more of the investment signals. &gt; Excellent information is provided, delivering an exemplary proposal. &gt; A high level of confidence / certainty exists that this proposal will successfully deliver on its outcomes. &gt; The proposal includes a detailed evaluation plan and clearly shows that the impacts can be maintained in the long term, incorporating EDI into every day practice, and achieving a sustainable and impactful step-change.</p>
<p><b>4</b></p>	<p>Acceptable Sufficient Adequate Suitable</p>	<p>&gt; The proposed work programme is likely to have outcomes with relevance to specific EDI needs or opportunities. &gt; Adequate benefits will be produced at the right level of quality and for a sufficient period of time. It is clear who will use the benefits. &gt; The short, medium and long term impacts are defined. &gt; The expected impact(s) align with one or more of the investment signals. &gt; Solid information is provided to assess the feasibility of achieving the proposed benefits and outcomes, however there is room for further information and evidence to improve the proposal. &gt; The proposal mentions how to evaluate the initiative and embed EDI into normal practice after completion.</p>			
<p><b>5</b></p>	<p>Significant Clear Multiple High level Robust</p>	<p>&gt; It is highly likely the proposed work programme will have short/medium term outcomes and long-term impacts with relevance to specific EDI needs or opportunities. &gt; High-quality benefits will be produced and it is clear who will use the benefits and how. &gt; There is a clear alignment with one or more of the investment signals. &gt; Clear, succinct information is provided to assess the feasibility of the work programme and its outcomes, delivering a solid proposal with relevant evidence. &gt; There are clear plans for evaluation and EDI continuity after the work programme finishes.</p>			



# VIEWING ASSIGNED PROPOSALS AND RECORDING ASSESSMENTS

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

For all IMS queries, e-mail or call:

Email [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

Phone 0800 693 778

(Monday to Friday, 8:30am to

## Accessing IMS

### ► To log in to IMS:

Access IMS using either Chrome or Firefox.

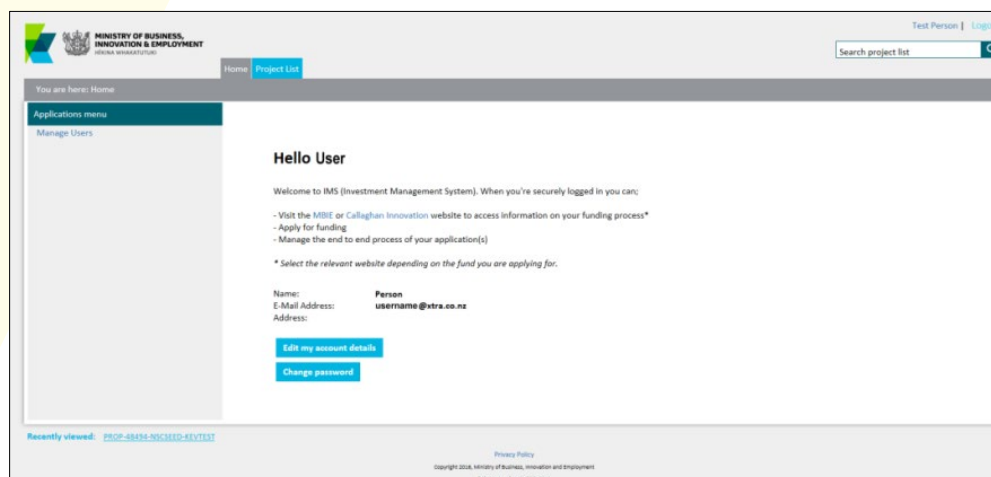
Five or more failed log in attempts will automatically lock you out of the system. If this occurs, contact us and ask for your account to be unlocked.

#### For first time Assessors:

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

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


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



#### For existing Assessors:

1. Click the MBIE IMS Portal link ([ims.msi.govt.nz/](https://ims.msi.govt.nz/)).
2. Type 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  (*where UN is your initials*) located top right of assessment **Scoring** page.

## ACCEPTING/DECLINING ASSIGNED PROPOSALS

Proposals will be assigned to you for preliminary assessment by 27 April 2021.

### ► 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 when you first access your list of assigned proposals if this is the first time you have been engaged by us to perform assessments. 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.

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

Name of Investment Process (Proposal)	Assessment Panel Member	Submitted	PRGP-XXXXX-XXXXXX-XXXX	Decline
Title of Assigned Proposal	Assessment Panel Member	Submitted	PRGP-XXXXX-XXXXXX-XXXX	Decline
Title of Assigned Proposal	Assessment Panel Member	Submitted	PRGP-XXXXX-XXXXXX-XXXX	Decline
Title of Assigned Proposal	Assessment Panel Member	Submitted	PRGP-XXXXX-XXXXXX-XXXX	Decline

4. Scroll down the list to see your assignments.  
The proposals assigned to you are listed under the **View Project** column, grouped by investment process. If you have performed assessments in the past, your new assignments will be at the top of the list under the heading **Equity, Diversity and Inclusion Capability Fund (Proposals)**.
5. For the first proposal listed, click the link under **View Project**. A summary of the proposal opens in a new browser tab.
6. After reading the proposal summary, if:
  - > You deem 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, enter the reason and click the **Save** button.  
The declined proposal is automatically removed from your assigned list.
    4. Close the summary.
  - > You deem an **indirect conflict of interest** exists, close the proposal's summary and email us at [EDICapabilityFund@mbie.govt.nz](mailto:EDICapabilityFund@mbie.govt.nz) to discuss further.
  - > There is **no conflict of interest**, close the summary and click the **Accept** button adjacent to the proposal.  
The proposal is allocated an **In progress** status.
7. Repeat the above steps for all the proposals in your list.

## Viewing and Printing Assigned Proposals

### ► To view and print a proposal:

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

- > The proposal's identification number is prominently displayed in the header of the proposal.
- > Proposals must be kept confidential.
- > Ensure the safe keeping of all proposals and related documents (e.g., workbooks and notes, etc.) during the assessment process.
- > Securely destroy all saved/printed proposals (or return to us) after the assessment process is completed.

## Recording Assessments

Your assessments are due on or before **12 noon, 4 May 2021**.


### ► To record your assessments:

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

The screenshot shows the IMS Scoring page for ASMT-203253. The navigation panel on the left has 'Scores and Comments' expanded, showing three categories: 'Excellence: Enhancing Equity, Diversity and Inclusion', 'Excellence: Project Implementation', and 'Impact'. The main content area displays two assessment sections. The first section is 'Excellence: Enhancing Equity, Diversity and Inclusion' (25% weighting), with a dropdown menu for the score and a text area for comments. The second section is 'Excellence: Project Implementation' (25% weighting), also with a dropdown menu for the score and a text area for comments. A yellow arrow points from the 'Excellence: Enhancing Equity, Diversity and Inclusion' section to the 'View Assessment' link in the navigation panel.

- > View and print the proposal by clicking the printer icon next to the proposal's number at the top left of the **Navigation** panel.
- > Ensure the safe keeping of all proposals and related documents, e.g., workbooks, notes, etc.
- > Securely destroy all saved/printed proposals once the assessment process is complete.

- Enter your assessment scores and comments 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. You can either scroll down the page to view and enter all fields or click on a link in the panel for direct access.

A **Saved 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.

Ensure that your comments are accurate, professional, honest, and correlate to the score and description associated with the scoring guide. Do not include names and be mindful that if requested to do so, they may be made available under the Official Information Act. Respond only to what you have been asked to assess.

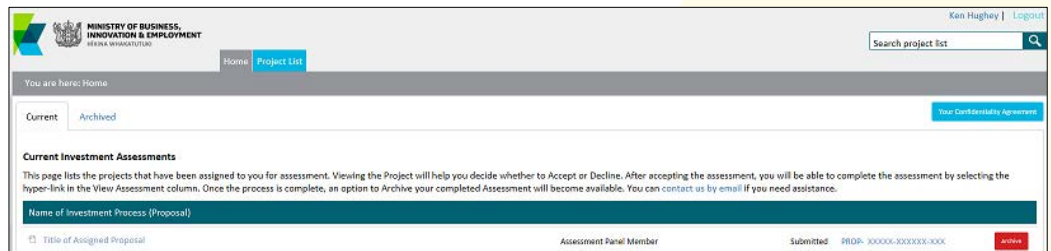
- When your assessment is complete (you have recorded your assessment rating and comment(s) into all of the fields), click the **Submit** button.
- A summary dialog displays with your assessment. If your recorded answers are satisfactory to you, click the **Save** button and then the **Submit** button. If not, click the **Back** button to return to the **Scoring** page and modify your assessment.

The **Submit** button is not active until all fields are complete. Once submitted, the proposal is automatically assigned the status **Submitted**.

- 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.

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





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

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

## Checking the Status of your Assessments

Check the completeness of your assessment of a proposal by looking at the left hand Navigation panel.

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

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



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