




MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT  
HĀKINA WHAKATUTUKI

# ENDEAVOUR FUND: TRANSFORMING NEW ZEALAND'S FUTURE

A close-up photograph of a glass jar with a metal clasp lid. The jar is filled with sliced red apples and a wooden skewer. In the background, several other similar jars are visible, suggesting a laboratory or food processing environment. The lighting is bright, highlighting the texture of the apples and the glass.

**ASSESSMENT  
GUIDELINES  
2022 INVESTMENT  
ROUND**

New Zealand Government



**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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# MIHI

## Tēnā koutou

Thank you for agreeing to assess proposals submitted for investment from the Endeavour Fund 2022 investment 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.

*Ko te tūmanako he āwhina i roto nei.  
Nā mātou o Hīkina Whakatutuki ki a koutou.*

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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."*

# INTRODUCTION

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 2022, 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 2022, 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 2022 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)

You can also [subscribe](#) to our Alert e-newsletter.



# 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	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 both Excellence and/or Impact assessment criteria	Smart Ideas Full Proposals receive investment

	As an Assessor you will assess your assigned...	The assessment informs the Science Board's decisions on which...
<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 Excellence assessment criteria	Research Programmes Full Proposals progress to be assessed against Impact assessment criteria
	Research Programmes Full Proposal assessed against Impact assessment criteria	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 [Endeavour Fund 2022 Investment Round 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).
- › Providing applicant feedback.
- › Adhering to our confidentiality and privacy provisions (in IMS).

## ASSESSOR BRIEFING

Prior to performing assessments, Assessors are encouraged to attend a one hour briefing session virtually via videoconference. The purpose of this session is to familiarise Assessors with the:

- › assessment tools and resources that are available, including the assessment scoring guides
- › assessment process
- › key actions
- › conflicts of interest

**A recording of the Assessor Briefing will also be provided to assessors.**





## KEY DATES

	SMART IDEAS		RESEARCH PROGRAMMES	
	CONCEPTS	FULL PROPOSALS	FULL PROPOSALS	
	Assessment of Excellence	Assessment of Excellence and Impact	Assessment of Excellence	Assessment of Impact
<b>Proposals assigned and assessment starts</b>	18 January 2022	15 June 2022	16 March 2022	25 May 2022
<b>Assessment ends. All assessments must be completed and submitted in IMS</b>	2 February 2022	6 July 2022	31 March 2022	2 June 2022
<b>Science Board decisions announced</b>	Invitation to Full Proposal late March-early April 2022	Investment mid-September 2022	Progress to Impact assessment late May 2022	Investment mid-September 2022

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 through these guidelines and background documents, and participate in an Assessor briefing
2-5 hours per proposal	Read assigned proposals, assign scores and enter those scores, with supporting commentary, into IMS (actual time depends on the proposal type i.e., Concept or Full Proposal).



## ASSIGNING PROPOSALS

We assign proposals to assessors 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 email you with the details of the proposals you are asked to assess ("assigned to you"). 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 <i>(if selected to progress)</i>

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.
3. Record your assessment scores and comments.

## WHAT THE ASSESSMENTS ARE USED FOR

The Science Board makes the investment decisions in accordance with the [Endeavour Fund 2022 Investment Round Gazette Notice](#), considering:

- › Independent Assessor reviews.
- › Portfolio approach.
- › Investment Targets in the [Endeavour Fund Investment Plan 2022-2024](#), and MBIE's [Vision Mātauranga Policy](#).

Applicant feedback is based on Assessor comments.





## CONFIDENTIALITY AND PRIVACY

To ensure confidentiality, as an Assessor you must:

- › ensure the safekeeping of all proposals and related documents (e.g., workbooks, notes, etc.).
- › destroy any remaining documentation or return it to us at the end of the assessment process
- › not correspond with or discuss the contents or assessment of any proposals with the applicant or any other party. If an applicant contacts you about a proposal:
  - › direct them to us [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz)
  - › email us with the details of your contact
  - › not use any confidential information for any purpose other than assessment.

You must agree to adhere to 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 requested, 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 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 28 for details on 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 different levels:

A **direct** conflict of interest; where an Assessor is:

- › directly involved with a proposal (as a participant, manager, mentor, or partner) or has a close personal relationship with the applicant, for example, family members, or
- › a collaborator or in some other way involved with an applicant's proposal.

An **indirect** conflict of interest; where an Assessor:

- › is employed by an organisation involved in a proposal but is not part of the applicant's proposal
- › has a personal and/or professional relationship with one of the applicants, e.g., an acquaintance
- › has, or has 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 the Assessors' personal business interests.

## Reporting Identified Conflicts

You must declare all conflicts of interest to us.

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 [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz) with the details for further discussion before accepting or declining the assignment.

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



# PERFORMING ASSESSMENTS

Use the following procedure when assessing proposals.

## THE ASSESSMENT STEPS

Read and understand the documents essential to the assessment process.

1. 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	SCORING 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 <i>(Protect and Add Value)</i> 24-25 <i>(Transform)</i>

- › [Endeavour Fund 2022 Investment Round Gazette Notice](#), which sets out the Excellence and Impact assessment criteria, and the Fund’s general and specific policy objectives.
- › [Endeavour Fund Investment Plan 2022-2024](#), 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 28 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.

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

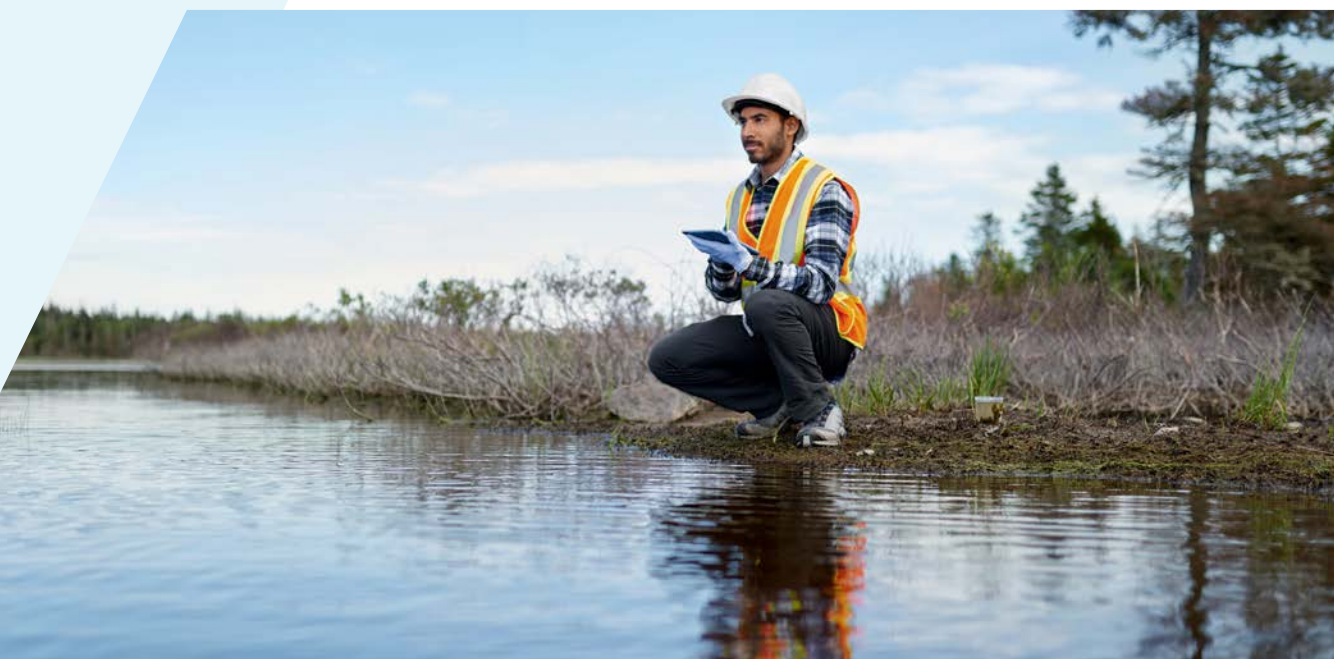
You will also be asked to:

- › comment how well the project will give effect to the [Vision Mātauranga Policy](#) (see below)
- › rate the level of scientific or technical risk in the proposal, whether Low, Medium or High
- › rate how closely your area(s) of expertise aligns with the proposal, whether Aligned, Well aligned, or Very well aligned.

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

5. You will be asked to record brief comments (approximately 30 words each), regarding the main strength and the main weakness of the proposal for feedback to applicants.
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 2022-2024](#).

The Excellence and Impact assessment includes Vision Mātauranga. During Assessment, you are asked:

In your opinion, how well will the project give effect to the Vision Mātauranga Policy (i.e. realise the potential of Māori people, knowledge and resources), and reflect genuine, fit-for-purpose approaches? Consider the specific activities, outputs and outcomes described, and whether they will create impact for Māori.

Select from the following to best describe your opinion: Exceptional / Very Well / Well / Not Well / Absent.

For Research Programmes you will also be asked to comment why.

# EXCELLENCE ASSESSMENT

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.

SPECIFIC POINTS TO NOTE FOR SCIENCE		
<p>Consider Excellence in the context of:</p> <ul style="list-style-type: none"> <li>› Research horizons                             <ul style="list-style-type: none"> <li>– Early stage research may pose higher scientific or technical risk than later stage research. Both approaches are valid.</li> </ul> </li> <li>› Areas of research                             <ul style="list-style-type: none"> <li>– Excellent research should be appropriate to the relevant discipline(s).</li> </ul> </li> </ul>	<p><b>Dissemination</b></p>	<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>
	<p><b>Risk</b></p>	<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>
	<p><b>Risk Management</b></p>	<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>
	<p><b>Novelty</b></p>	<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>
	<p><b>Innovation</b></p>	<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>



**SPECIFIC POINTS TO NOTE FOR SCIENCE**

<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</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>



# ASSESSMENT CRITERIA AND SCORING GUIDE

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

## SCIENCE

ASSESSMENT CRITERION: RESEARCH SHOULD BE WELL-DESIGNED, INVOLVE RISK AND/OR NOVELTY, AND LEVERAGE ADDITIONAL VALUE FROM WIDER RESEARCH

When assessing the SCIENCE criterion, assessors will consider how well the proposal addresses each of the following questions:

- > Will the research, science or technology or related activities, progress and disseminate new knowledge?
- > Does the proposal have a well-designed research plan and a credible approach to risk management?
- > Is the proposal ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches?
- > Is the proposal well-positioned in the domestic and international research context?
- > Does the proposal recognise the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori?

### SCORE & KEYWORDS

	1	2	3	4	5	6	7
	<p><i>(Low quality)</i></p> <p>None Not /no Not fit for purpose Negligible Missing Not credible</p>	<p>Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking</p>	<p>Limited Uncertain Some Partial Incomplete Lacks detail Possibly</p>	<p>Acceptable Sufficient Suitable Adequate Reasonably</p>	<p>Significant Good Substantial Well Clear Large</p>	<p>Strong High Comprehensive Very good Very well Certain Extensive</p>	<p><i>(High quality)</i></p> <p>Excellent Exemplary Impressive Outstanding Definitely</p>
	<p>The proposal design is not fit for purpose.</p> <p>It involves no risk and/or novelty.</p> <p>It leverages no additional value from wider research.</p> <p>It does not recognise the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori.</p> <p>For example, the research will not progress or disseminate new knowledge.</p>	<p>The proposal design is poor.</p> <p>It involves minimal risk and/or novelty.</p> <p>It leverages little additional value from wider research.</p> <p>There is insufficient recognition of the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori.</p> <p>For example, the research will minimally progress and disseminate new knowledge.</p>	<p>The proposal design is limited.</p> <p>It involves some risk and/or novelty.</p> <p>It leverages some additional value from wider research.</p> <p>There is limited recognition of the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori.</p> <p>For example, the research will partially progress and disseminate new knowledge.</p>	<p>The proposal design is suitable.</p> <p>It involves an acceptable level of risk and/or novelty.</p> <p>It leverages sufficient additional value from wider research.</p> <p>There is suitable recognition of the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori.</p> <p>For example, the research will adequately progress and disseminate new knowledge.</p>	<p>The proposal design is good.</p> <p>It involves a significant level of risk and/or novelty.</p> <p>It leverages a substantial amount of additional value from wider research.</p> <p>There is clear recognition of the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori.</p> <p>For example, the research will significantly progress and disseminate new knowledge.</p>	<p>The proposal design is strong.</p> <p>It involves a high level of risk and/or novelty.</p> <p>It leverages a comprehensive amount of additional value from wider research.</p> <p>There is very good recognition of the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori.</p> <p>For example, the research will extensively progress and disseminate new knowledge.</p>	<p>The proposal design is exemplary.</p> <p>It involves an impressive level of risk and/or novelty.</p> <p>It leverages an outstanding amount of additional value from wider research.</p> <p>There is impressive recognition of the distinctive research, science and innovation contributions of Māori people, knowledge and resources, including Mātauranga Māori.</p> <p>For example, the research will definitely progress and disseminate new knowledge.</p>

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

**TEAM**

**CRITERION: 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.**

When assessing the TEAM criterion, assessors will consider how well the proposal addresses each of the following questions:

- > Does the team have the right mix of complementary skills, knowledge and resources to deliver the proposed research, science, technology or related activities and manage risks?
- > Does the team have the appropriate Māori expertise for the project?

**SCORE & KEYWORDS**

	<b>1</b> <i>(Low quality)</i>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b> <i>(High quality)</i>
	None Not /no Not fit for purpose Negligible Missing Not credible	Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking	Limited Uncertain Some Partial Incomplete Lacks detail Possibly	Acceptable Sufficient Suitable Adequate Reasonably	Significant Good Substantial Well Clear Large	Strong High Comprehensive Very good Very well Certain Extensive	Excellent Exemplary Impressive Outstanding Definitely
	The team has none of the skills, knowledge, or resources needed to deliver the proposal and manage risks.	The team has an insufficient mix of skills, knowledge and resources needed to deliver the proposal and manage risks.	The team has a limited mix skills, knowledge and resources needed to deliver the proposal and manage risks.	The team has an adequate mix of skills, knowledge and resources needed to deliver the proposal and manage risks.	The team has a good mix of skills, knowledge and resources needed to deliver the proposal and manage risks.	The team has comprehensive mix of skills, knowledge and resources needed to deliver the proposal and manage risks.	The team has an exemplary mix of skills and knowledge and resources needed to deliver the proposal and manage risks.
	Appropriate Māori expertise in the team is missing.	Appropriate Māori expertise in the team is insufficient.	Appropriate Māori expertise in the team is limited.	Appropriate Māori expertise in the team is suitable.	Appropriate Māori expertise in the team is significant.	Appropriate Māori expertise in the team is very good.	Appropriate Māori expertise in the team is outstanding.
	For example, there is no evidence of the necessary skills and knowledge available.	For example, there is inadequate evidence of the necessary skills and knowledge available.	For example, there is limited evidence of the necessary skills and knowledge available.	For example, there is sufficient evidence of the necessary skills and knowledge available.	For example, there is substantial evidence of the necessary skills and knowledge available.	For example, there is very good evidence of the necessary skills and knowledge available.	For example, there is excellent evidence of the necessary skills and knowledge available.

# IMPACT ASSESSMENT

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. The same score grid is used for assessing Impact (Benefit to New Zealand) for Smart Ideas Full Proposals and Research Programmes Full Proposals (Protect and Add Value impact category). Different score grids are used for assessing Impact (Benefit to New Zealand) for Research Programmes Full Proposals (Transform impact category) and for assessing Impact (Implementation Pathway) for Smart Ideas Full Proposals, Research Programmes Full Proposals (Protect and Add Value impact category) and Research Programmes Full Proposals (Transform impact category).

SPECIFIC POINTS TO NOTE FOR BENEFIT TO NEW ZEALAND		
<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>&gt; Benefits across multiple sectors.</li> <li>&gt; Faster uptake of results in multiple areas.</li> <li>&gt; Improved state of the environment.</li> <li>&gt; Potential to scale up regional initiatives to nation-wide implementation.</li> <li>&gt; Consistency of standards or approaches for regulators.</li> <li>&gt; Improved social well-being.</li> <li>&gt; Better use of resources.</li> <li>&gt; Preservation or enhancement of cultural heritage and values.</li> <li>&gt; More efficient processes.</li> <li>&gt; Upskilling industry.</li> <li>&gt; Support for emerging new sectors.</li> </ul>	<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>&gt; an economic development project may express scale in financial terms or degree of penetration of markets</li> <li>&gt; 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>&gt; 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>&gt; value which exceeds the cost of doing the research.</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>&gt; potential impact for New Zealand</li> <li>&gt; more investment in research with higher (impact) of 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>&gt; better leveraging of wider existing investment and knowledge in New Zealand and overseas</li> <li>&gt; greater effect to be given to Vision Mātauranga.</li> </ul>

## SPECIFIC POINTS TO NOTE FOR IMPLEMENTATION PATHWAY(S)

- > Creation of research platform which has additional utility for new users.
- > Job creation eg via new start-ups.
- > Development of a cluster of businesses.
- > Multinational business attraction to or retention in New Zealand.
- > Protecting existing markets, or impact on New Zealand's reputation.
- > Diversification of the economy.

### Credible implementation pathway(s)

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:

- > at a later stage of development, a detailed description of the pathway(s) towards implementation is expected as is more end-user involvement
- > 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.

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 (derived from or built on credible and reliable sources), 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.

### Strength of the relationships

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 (co-funding is not a requirement for proposals).

Measure against a range of parameters which include the:

- > length of time over which the relationship has been developed
- > quality of the relationship (eg deep seated or superficial)
- > level of commitment of the stakeholders/end users/ beneficiaries. To some extent, the level of commitment can be gauged from:
  - > the level of user-involvement in steering the research (eg via an advisory group)
  - > commitment either to specific actions or to providing various types of assistance.

## SPECIFIC POINTS TO NOTE FOR IMPLEMENTATION PATHWAY(S), RESEARCH PROGRAMMES ONLY

Proposals submitted in the Transform category should meet both the following:

- > 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; and
- > 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.

### Relevant

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.

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.

### Team impact track record

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.

**Important note:** 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'.

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.

Evidence of a large impact will not be taken as conclusive evidence of a transformational impact.

IMPACT ASSESSMENT SCORE GRID: Smart Ideas Full Proposals.

## 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

When assessing the BENEFIT TO NEW ZEALAND criterion, assessors will consider how well the proposal addresses each of the following questions:

- > What is the scale and extent of potential direct and indirect benefits from the proposed research, science or technology or related activities?
- > What is the extent of alignment with one or more areas of future additional value, growth or critical need for New Zealand?
- > To what extent has the project identified and evaluated the potential impacts for Māori?

SCORE & KEYWORDS

	1 <i>(Low quality)</i>	2	3	4	5	6	7 <i>(High quality)</i>
	None Not /no Not fit for purpose Negligible Missing Not credible	Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking	Limited Uncertain Some Partial Incomplete Lacks detail Possibly	Acceptable Sufficient Suitable Adequate Reasonably	Significant Good Substantial Well Clear Large	Strong High Comprehensive Very good Very well Certain Extensive	Excellent Exemplary Impressive Outstanding Definitely
	The scale and extent of the potential (direct or indirect) benefits of the proposed work is negligible.	The scale and extent of the potential (direct or indirect) benefits of the proposed work is doubtful.	The scale and extent of the potential (direct or indirect) benefits of the proposed work is limited.	The scale and extent of the potential (direct or indirect) benefits of the proposed work is adequate.	The scale and extent of the potential (direct or indirect) benefits of the proposed work is significant.	The scale and extent of the potential (direct or indirect) benefits of the proposed work is comprehensive.	The scale and extent of the potential (direct or indirect) benefits of the proposed work is exemplary.
	The scale and extent of the potential (direct or indirect) benefits of the proposed work is negligible.	The outcomes have minimal alignment with one or more areas of future additional value, growth or critical need.	The outcomes have uncertain alignment with one or more areas of future additional value, growth or critical need.	The outcomes have acceptable alignment with one or more areas of future additional value, growth or critical need.	The outcomes have good alignment with one or more areas of future additional value, growth or critical need.	The outcomes have strong alignment with one or more areas of future additional value, growth or critical need.	The outcomes have definite alignment with one or more areas of future additional value, growth or critical need.
	The project has not identified and evaluated the potential impacts for Māori.	The project has inadequately identified and evaluated the potential impacts for Māori.	The project has partially identified and evaluated the potential impacts for Māori.	The project has adequate identified and evaluated the potential impacts for Māori.	The project has clearly identified and evaluated the potential impacts for Māori.	The project has comprehensively identified and evaluated the potential impacts for Māori.	The project has identified and evaluated the potential impacts for Māori outstandingly.
	For example, the research will not deliver additional value for New Zealand.	For example, the research will deliver insufficient additional value for New Zealand.	For example, the research will deliver limited additional value for New Zealand.	For example, the research will deliver adequate additional value for New Zealand.	For example, the research will deliver good additional value for New Zealand.	For example, the research will deliver very good additional value for New Zealand.	For example, the research will deliver excellent additional value for New Zealand.

IMPACT ASSESSMENT SCORE GRID: Smart Ideas Full Proposals.

## IMPLEMENTATION PATHWAY(S)

CRITERION: RESEARCH SHOULD HAVE A CREDIBLE IMPLEMENTATION PATHWAY(S) TO DELIVER PUBLIC BENEFIT TO NEW ZEALAND, NOT LIMITED TO A SINGLE FIRM OR END-USER

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

- > Does the proposal provide credible end or next-user information, to confirm that the implementation pathway is appropriate for the state of the sector or the stage of the research?
- > Does the proposal provide a credible implementation pathway (s) to deliver benefits to New Zealand, not limited to a single end user?
- > Is there evidence of a strong relationship with end or next-users and stakeholders?
- > Does the proposal include sufficient input from Māori at the appropriate stage(s) of the project that are adequately resourced, to ensure effective implementation?

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

### SCORE & KEYWORDS

1 <i>(Low quality)</i> None Not /no Not fit for purpose Negligible Missing Not credible	2 Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking	3 Limited Uncertain Some Partial Incomplete Lacks detail Possibly	4 Acceptable Sufficient Suitable Adequate Reasonably	5 Significant Good Substantial Well Clear Large	6 Strong High Comprehensive Very good Very well Certain Extensive	7 <i>(High quality)</i> Excellent Exemplary Impressive Outstanding Definitely
The indicative implementation pathway(s) will not deliver public benefit to New Zealand.	The indicative implementation pathway(s) are inadequate for the delivery of public benefit to New Zealand.	The indicative implementation pathway(s) are limited for the delivery of public benefit to New Zealand.	The indicative implementation pathway(s) are acceptable for the delivery of public benefit to New Zealand.	The indicative implementation pathway(s) are clear for the delivery of public benefit to New Zealand.	The indicative implementation pathway(s) are very good for the delivery of public benefit to New Zealand.	The indicative implementation pathway(s) are excellent for the delivery of public benefit to New Zealand.
Benefit is limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.
There is no evidence of relationships with end or next-users or stakeholders.	There is insufficient evidence of relationships with end or next-users or stakeholders.	There is limited evidence of relationships with end or next-users or stakeholders.	There is acceptable evidence of relationships with end or next-users or stakeholders.	There is good evidence of relationships with end or next-users or stakeholders.	There is very good evidence of relationships with end or next-users or stakeholders.	There is excellent evidence of relationships with end or next-users or stakeholders.
The proposal does not include appropriate input from Māori.	The proposal has little input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has some input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has adequate input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has significant input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has very good input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal includes outstanding engagement with Māori at the appropriate stage(s) or levels to ensure effective.
For example, the implementation pathways are not credible because the supporting information is missing.	For example, the implementation pathways are inadequate because the supporting information is insufficient.	For example, the implementation pathways are limited because the supporting information lacks detail.	For example, the implementation pathways are acceptable because the supporting information is suitable.	For example, the implementation pathways are clear because the supporting information is substantial.	For example, the implementation pathways are very good because the supporting information is comprehensive.	For example, the implementation pathways are excellent because the supporting information is exemplary.

**IMPACT ASSESSMENT SCORE GRID:** Research Programmes Full Proposals — Protect and Add Value Impact Category.

<p><b>BENEFIT TO NEW ZEALAND</b></p> <p>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</p> <p>When assessing the BENEFIT TO NEW ZEALAND criterion, assessors will consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> <li>&gt; What is the scale and extent of potential direct and indirect benefits from the proposed research, science or technology or related activities?</li> <li>&gt; What is the extent of alignment with one or more areas of future additional value, growth or critical need for New Zealand?</li> <li>&gt; To what extent has the project identified and evaluated the potential impacts for Māori?</li> </ul>	SCORE & KEYWORDS						
	1	2	3	4	5	6	7
	<p><i>(Low quality)</i></p> <p>None Not /no Not fit for purpose Negligible Missing Not credible</p>	<p>Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking</p>	<p>Limited Uncertain Some Partial Incomplete Lacks detail Possibly</p>	<p>Acceptable Sufficient Suitable Adequate Reasonably</p>	<p>Significant Good Substantial Well Clear Large</p>	<p>Strong High Comprehensive Very good Very well Certain Extensive</p>	<p><i>(High quality)</i></p> <p>Excellent Exemplary Impressive Outstanding Definitely</p>
	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is negligible.</p>	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is doubtful.</p>	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is limited.</p>	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is adequate.</p>	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is significant.</p>	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is comprehensive.</p>	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is exemplary.</p>
	<p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is negligible.</p>	<p>The outcomes have minimal alignment with one or more areas of future additional value, growth or critical need.</p>	<p>The outcomes have uncertain alignment with one or more areas of future additional value, growth or critical need.</p>	<p>The outcomes have acceptable alignment with one or more areas of future additional value, growth or critical need.</p>	<p>The outcomes have good alignment with one or more areas of future additional value, growth or critical need.</p>	<p>The outcomes have strong alignment with one or more areas of future additional value, growth or critical need.</p>	<p>The outcomes have definite alignment with one or more areas of future additional value, growth or critical need.</p>
	<p>The project has not identified and evaluated the potential impacts for Māori.</p>	<p>The project has inadequately identified and evaluated the potential impacts for Māori.</p>	<p>The project has partially identified and evaluated the potential impacts for Māori.</p>	<p>The project has adequate identified and evaluated the potential impacts for Māori.</p>	<p>The project has clearly identified and evaluated the potential impacts for Māori.</p>	<p>The project has comprehensively identified and evaluated the potential impacts for Māori.</p>	<p>The project has identified and evaluated the potential impacts for Māori outstandingly.</p>
	<p>For example, the research will not deliver additional value for New Zealand.</p>	<p>For example, the research will deliver insufficient additional value for New Zealand.</p>	<p>For example, the research will deliver limited additional value for New Zealand.</p>	<p>For example, the research will deliver adequate additional value for New Zealand.</p>	<p>For example, the research will deliver good additional value for New Zealand.</p>	<p>For example, the research will deliver very good additional value for New Zealand.</p>	<p>For example, the research will deliver excellent additional value for New Zealand.</p>



**IMPACT ASSESSMENT SCORE GRID:** Research Programmes Full Proposals – Protect and Add Value Impact Category.

## IMPLEMENTATION PATHWAY(S)

**CRITERION: 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.**

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

- > Does the proposal provide credible end or next-user information, to confirm that the implementation pathway is appropriate for the state of the sector or the stage of the research?
- > Does the proposal provide a credible implementation pathway (s) to deliver benefits to New Zealand, not limited to a single end user?
- > Is there evidence of a strong relationship with end or next-users and stakeholders?
- > Is there a mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas?
- > Does the proposal include sufficient input from Māori at the appropriate stage(s) of the project that are adequately resourced, to ensure effective implementation?

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

SCORE & KEYWORDS

1 <i>(Low quality)</i> None Not /no Not fit for purpose Negligible Missing Not credible	2 Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking	3 Limited Uncertain Some Partial Incomplete Lacks detail Possibly	4 Acceptable Sufficient Suitable Adequate Reasonably	5 Significant Good Substantial Well Clear Large	6 Strong High Comprehensive Very good Very well Certain Extensive	7 <i>(High quality)</i> Excellent Exemplary Impressive Outstanding Definitely
The indicative implementation pathway(s) will not deliver public benefit to New Zealand.	The implementation pathway(s) are inadequate for the delivery of public benefit to New Zealand.	The implementation pathway(s) are incomplete for the delivery of public benefit to New Zealand.	The implementation pathway(s) are acceptable for the delivery of public benefit to New Zealand.	The implementation pathway(s) are clear for the delivery of public benefit to New Zealand.	The implementation pathway(s) are very good for the delivery of public benefit to New Zealand.	The implementation pathway(s) are excellent for the delivery of public benefit to New Zealand.
Benefit is limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.
There is no evidence of relationships with end or next-users or stakeholders.	The strength of relationships with end or next-users or stakeholders is insufficient.	The strength of relationships with end or next-users or stakeholders is limited.	The strength of relationships with end or next-users or stakeholders is suitable.	The strength of relationships with end or next-users or stakeholders is good.	The strength of relationships with end or next-users or stakeholders is high.	The strength of relationships with end or next-users or stakeholders is outstanding.
There are no skills and experience of the team, relevant to achieving impact.	The skills and experience of the team, relevant to achieving impact, is doubtful.	The skills and experience of the team, relevant to achieving impact, is uncertain.	The skills and experience of the team, relevant to achieving impact, is adequate.	The skills and experience of the team, relevant to achieving impact, is significant.	The skills and experience of the team, relevant to achieving impact, is comprehensive.	The skills and experience of the team, relevant to achieving impact, is exemplary.
The proposal does not include appropriate input from Māori.	The proposal has little input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has some input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has adequate input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has significant input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has very good input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal includes outstanding engagement with Māori at the appropriate stage(s) or levels to ensure effective implementation.
For example, the implementation pathways are not credible because the evidence of strong relationships with relevant parties is missing.	For example, the implementation pathways are inadequate because the evidence of strong relationships with relevant parties is poor.	For example, the implementation pathways are limited because the evidence of strong relationships with relevant parties is uncertain.	For example, the implementation pathways are acceptable because the evidence of strong relationships with relevant parties is sufficient.	For example, the implementation pathways are clear because the evidence of strong relationships with relevant parties is substantial.	For example, the implementation pathways are very good because the evidence of strong relationships with relevant parties is comprehensive.	For example, the implementation pathways are excellent because the evidence of strong relationships with relevant parties gives total confidence.

## 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.

When assessing the BENEFIT TO NEW ZEALAND criterion, assessors will consider how well the proposal addresses each of the following:

- > To what extent, are the outcome(s) enabled by the research a Radical Change and/or a leap in performance versus the status quo, and will the impact also transform New Zealand's economy, society or environment?
- > 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?
- > To what extent has the project identified and evaluated the potential impacts for Māori?

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.

### SCORE & KEYWORDS

1 <i>(Low quality)</i> None Not /no Not fit for purpose Negligible Missing Not credible	2 Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking	3 Limited Uncertain Some Partial Incomplete Lacks detail Possibly	4 Acceptable Sufficient Suitable Adequate Reasonably	5 Significant Good Substantial Well Clear Large	6 Strong High Comprehensive Very good Very well Certain Extensive	7 <i>(High quality)</i> Excellent Exemplary Impressive Outstanding Definitely
The changes enabled by the research will not result in a Radical Change and/or leap in performance and the potential benefits for New Zealand are not transformational in nature.	The changes enabled by the research are insufficient to result in a radical change and/or leap in performance and the potential benefits for New Zealand are unlikely to be transformational in nature.	The changes enabled by the research are too limited to result in a radical change and/or leap in performance and the potential benefits for New Zealand are possibly transformational in nature.	The changes enabled by the research are sufficient to result in a radical change and/or leap in performance and the potential benefits for New Zealand is sufficiently likely to be transformational in nature.	The changes enabled by the research are significant enough to result in a radical change and/or leap in performance and the potential benefits for New Zealand is clearly likely to be transformational in nature.	The changes enabled by the research are extensive enough to result in a radical change and/or leap in performance and the potential benefits for New Zealand is strongly likely to be transformational in nature.	The changes enabled by the research will result in a radical change and/or leap in performance and the potential benefits for New Zealand is transformational in nature.
The alignment with one or more areas of future additional value, growth or critical need is missing.	The alignment with one or more areas of future additional value, growth or critical need is insufficient.	The outcomes have uncertain alignment with one or more areas of future additional value, growth or critical need.	The outcomes have acceptable alignment with one or more areas of future additional value, growth or critical need.	The outcomes have good alignment with one or more areas of future additional value, growth or critical need.	The outcomes have strong alignment with one or more areas of future additional value, growth or critical need.	The outcomes have definite alignment with one or more areas of future additional value, growth or critical need.
The project has not identified and evaluated the potential impacts for Māori.	The project has inadequately identified and evaluated the potential impacts for Māori.	The project has partially identified and evaluated the potential impacts for Māori.	The project has adequately identified and evaluated the potential impacts for Māori.	The project has clearly identified and evaluated the potential impacts for Māori.	The project has comprehensively identified and evaluated the potential impacts for Māori.	The project has identified and evaluated the potential impacts for Māori outstandingly.
For example, the proposed work will not lead to a change to the status quo.	For example, the proposed work is unlikely to lead to a change to the status quo.	For example, the proposed work will possibly lead to a change to the status quo.	For example, the proposed work is reasonably likely to lead to a change to the status quo.	For example, the proposed work is clearly likely to lead to a change to the status quo.	For example, the proposed work is very likely to lead to a change to the status quo.	For example, the proposed work will definitely lead to a change to the status quo.

## IMPLEMENTATION PATHWAY(S)

CRITERION: RESEARCH SHOULD HAVE AN INDICATIVE IMPLEMENTATION PATHWAY(S) TO DELIVER PUBLIC BENEFIT TO NEW ZEALAND THAT IS NOT LIMITED TO A SINGLE FIRM OR END-USER, AND AN UNDERSTANDING OF THE BARRIERS TO IMPACT.

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 provide a credible indicative implementation pathway (s) to deliver benefits to New Zealand, not limited to a single end user?
- > Have the indicative end or next-users, beneficiaries, and stakeholders been identified?
- > Is the mix of skills and experience within the team, complementary and relevant to achieving impact of what is proposed?
- > Does the proposal include sufficient input from Māori at the appropriate stage(s) of the project that are adequately resourced, to ensure effective implementation?

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

### SCORE & KEYWORDS

1 <i>(Low quality)</i> None Not /no Not fit for purpose Negligible Missing Not credible	2 Minimal Poor Little Inadequate Insufficient Doubtful Unlikely Lacking	3 Limited Uncertain Some Partial Incomplete Lacks detail Possibly	4 Acceptable Sufficient Suitable Adequate Reasonably	5 Significant Good Substantial Well Clear Large	6 Strong High Comprehensive Very good Very well Certain Extensive	7 <i>(High quality)</i> Excellent Exemplary Impressive Outstanding Definitely
The proposal demonstrates no understanding of the enablers and barriers in potential implementation pathway(s).	The proposal demonstrates insufficient understanding of the enablers and barriers in potential implementation pathway(s).	The proposal demonstrates some understanding of the enablers and barriers in potential implementation pathway(s).	The proposal demonstrates acceptable understanding of the enablers and barriers in potential implementation pathway(s).	The proposal demonstrates credible understanding of the enablers and barriers in potential implementation pathway(s).	The proposal demonstrates comprehensive understanding of the enablers and barriers in potential implementation pathway(s).	The proposal demonstrates exemplary understanding of the enablers and barriers in potential implementation pathway(s).
There is no identification of indicative end or next-users, beneficiaries or stakeholders.	There is insufficient identification of indicative end or next-users, beneficiaries or stakeholders.	There is limited identification of indicative end or next-users, beneficiaries or stakeholders.	There is suitable identification of indicative end or next-users, beneficiaries or stakeholders.	There is good identification of indicative end or next-users, beneficiaries or stakeholders.	There is very good identification of indicative end or next-users, beneficiaries or stakeholders.	There is impressive identification of indicative end or next-users, beneficiaries or stakeholders.
There are no skills and experience of the team, relevant to achieving impact.	The skills and experience of the team, relevant to achieving impact are doubtful.	The skills and experience of the team, relevant to achieving impact, is uncertain.	The skills and experience of the team, relevant to achieving impact, is adequate.	The skills and experience of the team, relevant to achieving impact, is significant.	The skills and experience of the team, relevant to achieving impact, is comprehensive.	The skills and experience of the team, relevant to achieving impact, is exemplary.
The proposal does not include appropriate input from Māori.	The proposal has little input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has some input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has adequate input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has significant input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has very good input from Māori at the appropriate stage(s) or levels to ensure effective implementation.	The proposal has outstanding input from Māori at the appropriate stage(s) or levels to ensure effective implementation.
Benefit is limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.	Benefit is not limited to a single firm or end-user.
For example, the indicative implementation pathway(s) has not credibility to deliver benefits to New Zealand.	For example, the indicative implementation pathway(s) has poor credibility to deliver benefits to New Zealand.	For example, the indicative implementation pathway(s) has limited credibility to deliver benefits to New Zealand.	For example, the indicative implementation pathway(s) has reasonable credibility to deliver benefits to New Zealand.	For example, the indicative implementation pathway(s) has good credibility to deliver benefits to New Zealand.	For example, the indicative implementation pathway(s) has very good credibility to deliver benefits to New Zealand.	For example, the indicative implementation pathway(s) has excellent credibility to deliver benefits to New Zealand.

# USING IMS TO VIEW ASSIGNED PROPOSALS AND RECORD ASSESSMENTS

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) – a secure online portal.

## 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 all IMS queries, e-mail or call:

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

Phone 0800 693 778

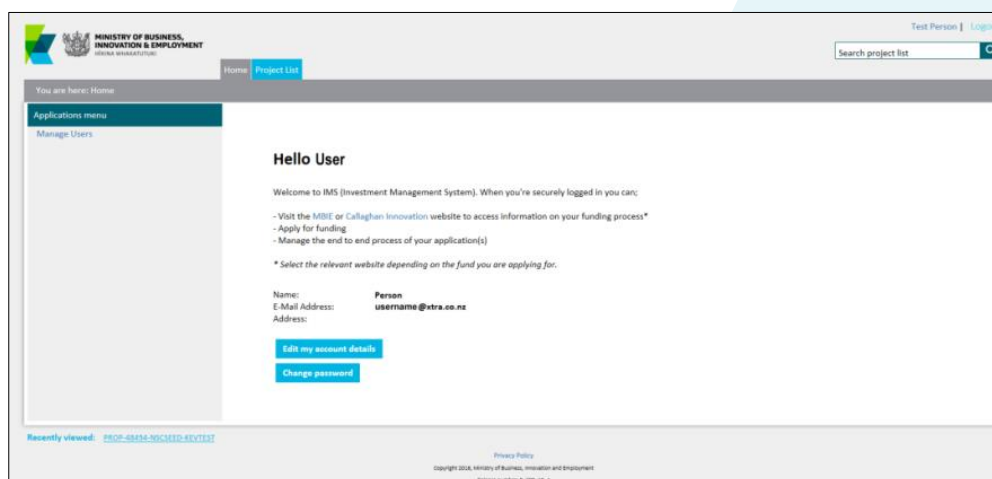
(Monday to Friday, 8:30am to 4:30pm  
New Zealand time)

### 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 previous 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** screen).
  - > Click the **UN** (where *UN* is your initials) located top right of assessment **Scoring** page.

## UPDATING YOUR IMS DETAILS

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

▶ To view and/or update your details:

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

▶ To change your password:

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

You can also access these details by clicking the **UN** button (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 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.

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

MINISTRY OF BUSINESS, INNOVATION & EMPLOYMENT HEKKA WIRANGATUTU		Ken Hughey   Logout	
Home   Project List		Search project list	
You are here: Home			
Current   Archived		Your Confidentiality Agreement	
<b>Current Investment Assessments</b>			
This page lists the projects that have been assigned to you for assessment. Viewing the Project will help you decide whether to Accept or Decline. After accepting the assessment, you will be able to complete the assessment by selecting the hyper-link in the View Assessment column. Once the process is complete, an option to Archive your completed Assessment will become available. You can contact us by email if you need assistance.			
Name of Investment Process (Proposal)			
<input type="checkbox"/> Title of Assigned Proposal	Assessment Panel Member	Submitted	PROP-XXXXXXXX-XXXX <b>Accept</b>
<input type="checkbox"/> Title of Assigned Proposal	Assessment Panel Member	Submitted	PROP-XXXXXXXX-XXXX <b>Accept</b>
Name of Investment Process (Proposal)			
<input type="checkbox"/> Title of Assigned Proposal	Assessment Panel Member	Submitted	PROP-XXXXXXXX-XXXX <b>Accept</b>

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:

- > 2022 Endeavour Fund – Smart Ideas (Concepts)
  - > 2022 Endeavour Fund – Smart Ideas (Full Proposals)
  - > 2022 Endeavour Fund – Research Programmes (Full 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. After reading the proposal's 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 [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz) to discuss further.
    - > There is **no conflict of interest**, close the summary and click the **Accept** button adjacent to the proposal.  
The proposal is allocated an **In progress** status.
  6. Repeat the above steps for all the proposals in your list.

---

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

### ▶ To view and print a proposal:

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

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

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

- > ensure the safe keeping of all proposals and related documents (*e.g., workbooks and notes, etc.*) during the assessment process
- > 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, 14 February 2022.

► To record your assessments:

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

The screenshot shows a web interface for recording assessments. The top navigation bar includes 'Home > Assessments > ASMT-XXXXX (in progress)'. The left sidebar contains a 'Navigation' panel with sections: 'Assessment scores and comments' (with sub-items 'Excellence: Science score' and 'Excellence: Team score'), 'Vision Mātauranga' (with sub-items 'Relevance in your opinion', 'Applicant recognition', 'How well addressed', 'Vision Mātauranga comments'), and 'Assessor alignment' (with sub-item 'Self-rating'). The main content area is titled 'Excellence: Science score' and contains the following text: '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 risk, 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.' Below this is a dropdown menu for 'Score 1 (low quality) to score 7 (high quality)' with the value 'Excellence: Science score \*'. A text area for 'Excellence: Science comment (200 words) \*' is also visible.

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

3. 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.

This screenshot is similar to the previous one but shows the 'Excellence: Science score' dropdown menu with the value '3' selected. The text area for 'Excellence: Science comment (200 words) \*' now contains the placeholder text 'Enter your assessment comments here...'. The 'Excellence: Team score' section is also visible below, with a dropdown menu for 'Score 1 (low quality) to score 7 (high quality)' and a text area for 'Excellence: Team comment (200 words) \*'. At the bottom right of the page, there are 'Save' and 'Undo' buttons.

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.

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.

**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.

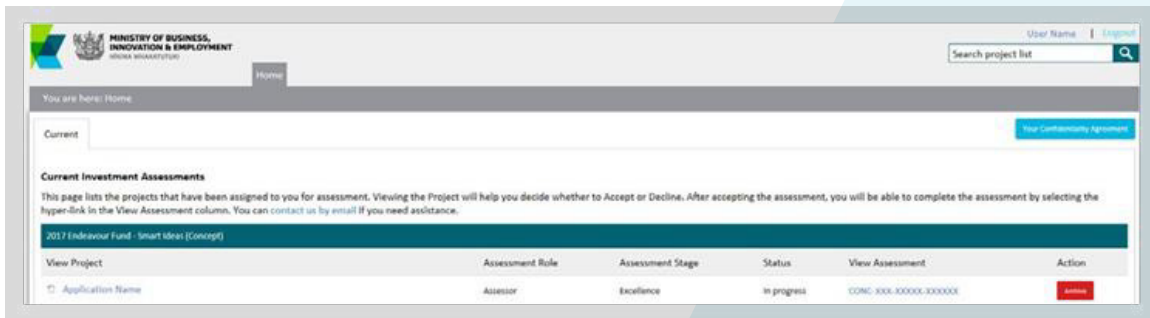
4. Record a brief comment (approximately 30 words), regarding the main strength and the main weakness of the proposal for feedback to applicants.
5. When your assessment is complete (you have recorded your assessment rating and comment(s) into all of the fields), click the **Submit** button.
6. A summary 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**.

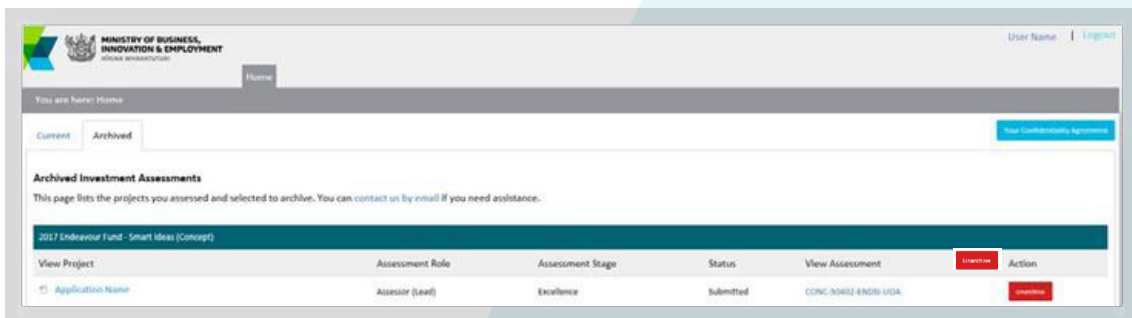
7. Close the browser tab displaying the **Scoring** page and return to the tab displaying your list of assignments.

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

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



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





Remember to destroy all saved/printed proposals (or return to us) 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.

A photograph of a laboratory setting. In the foreground, a petri dish contains red agar with several bacterial colonies. In the background, there are several other petri dishes on a white surface, some with yellowish liquid. A metal wire rack is also visible. The image is partially obscured by a dark blue diagonal overlay.

**FOR MORE INFORMATION VISIT US  
ONLINE AT [WWW.MBIE.GOVT.NZ](http://WWW.MBIE.GOVT.NZ)**

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