



MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT
HIKINA WHAKATUTUKI

ENDEAVOUR FUND



2023 ASSESSMENT GUIDELINES

Te Kāwanatanga o Aotearoa
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.

MORE INFORMATION

Information, examples and answers to your questions about the topics covered here can be found on our website: www.mbie.govt.nz or by calling us free on: **0800 693 778**.

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.

ONLINE: ISBN 978-1-99-104158-6

SEPTEMBER 2022

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MIHI

Tēnā koutou

Thank you for agreeing to assess proposals submitted to the 2023 investment round of the Endeavour Fund.

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.

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 and refresh diversity in the science portfolio. Applicants can request between \$0.4 million to \$1 million over the term of two or three years. In 2023, 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 2023, 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 2023 Investment Round which you can find on the [Endeavour Fund web pages](#).

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

Email Proposal queries: assessors@mbie.govt.nz

IMS queries: imssupport@mbie.govt.nz

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

We also recommend you [subscribe](#) to our Alert e-newsletter to be kept up to date with any changes.

THE ASSESSMENT PROCESS

You may be asked to assess proposals requesting funding from one or both investment mechanisms (Smart Ideas and/or Research Programmes).

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 decision on which...
FOR SMART IDEAS		
REGISTRATION		
Applicant registers their interest before submitting a Concept	Not assessed	Not assessed
CONCEPT		
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
FULL PROPOSAL		
Invited Applicant submits a Full Proposal	Smart Ideas Full Proposal assessed 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 decision on which...
FOR RESEARCH PROGRAMMES		
REGISTRATION		
Applicant registers their interest before submitting a Full Proposal	Not assessed	Not assessed
FULL PROPOSAL		
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 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 2023 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:

- accepting or declining assigned proposals as soon as possible and preferably within 24 hours
- declaring any conflicts of interest
- reading and assessing assigned proposals
- allocating scores that reflect your views (using a 7-point scoring system against the assessment criteria)
- recording your scores and supporting commentary into our Investment Management System (IMS)
- providing feedback that MBIE will pass on to applicants
- adhering to our confidentiality and privacy provisions (in IMS).

ASSESSOR BRIEFING

Prior to performing assessments, Assessors are encouraged to watch one or all of the briefing modules provided which cover all aspects of the assessment process. The purpose of these modules is to familiarise you with:

- the assessment tools and resources that are available, including the assessment scoring grids
- the assessment process
- key actions
- how to address conflicts of interest.

If you have any questions related to the assessment, please contact the team at assessors@mbie.govt.nz.

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
Proposals assigned and assessment starts	16 January 2023	21 June 2023	16 March 2023	25 May 2023
Assessment ends. All assessments must be completed and recorded in IMS	1 February 2023	10 July 2023	30 March 2023	7 June 2023
Science Board decisions announced	Invitation to Full Proposal late March – early April 2023	Mid to late September 2023	Progress to Impact assessment late May 2023	Mid to late September 2023

All dates are New Zealand time.

Note: Key dates are subject to change and any changes will be communicated ahead of time.

TIME COMMITMENT

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

APPROXIMATE TIME	TASK
Half a day	Read through these guidelines and background documents and view appropriate briefing modules.
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., Smart Ideas Concept, Smart Ideas Full Proposal or Research Programmes Full Proposal).

ASSIGNING PROPOSALS

In assigning proposals, we take 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 proposal(s) 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 (if approved to progress)

You use IMS to:

1. log on to view your assigned proposals, identify and notify MBIE of any potential conflicts of interest, and then accept or decline each assessment accordingly
2. open (download and/or print) all assigned and accepted Concepts and/or Full Proposals. Refer to page 25 for further instructions on how to use IMS
3. record your assessment scores and comments
4. provide a brief summary of the proposal's main strength and main weakness.

WHAT THE ASSESSMENTS ARE USED FOR

The Science Board makes the investment decisions in accordance with the Endeavour Fund 2023 Investment Round Gazette Notice, considering:

- independent Assessor reviews
- the portfolio approach
- portfolio targets in the [Endeavour Fund Investment Plan 2022-2024](#), and [MBIE's Vision Mātauranga Policy](#).

Applicant feedback is provided directly to Applicant once the results have been notified.

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
- not use any confidential information for any purpose other than the assessment.

If an Applicant contacts you about a proposal:

- direct them to us (assessors@mbie.govt.nz), and
- email us with the details of your contact.

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

OFFICIAL INFORMATION ACT 1982

Proposals and their assessments are confidential. Note however that we are subject to the Official Information Act 1982 and therefore 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 assessed.

Before starting to assess, you must check your list of assigned proposals for any conflicts of interest and either accept or decline the assignments (see page 26 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 levels: direct and indirect.

- You would be deemed to have a **direct** conflict of interest if you are either:
 - 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
 - a collaborator or in some other way involved with an Applicant's proposal.
- You would be deemed to have an **indirect** conflict of interest if you are either:
 - employed by an organisation involved in a proposal but are not part of the Applicant's proposal
 - have a personal and/or professional relationship with one of the Applicants, for example an acquaintance
 - assessing a proposal that may compete with your business interests.

If you are from a University, a Crown Research Institute, or another large research 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

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 with the details for further discussion before accepting or declining the assignment.

PERFORMING ASSESSMENTS

Use the following procedure when assessing proposals.

THE ASSESSMENT STEPS

1. Read and understand the:

- Relevant scoring grid for Smart Ideas and Research Programmes, for both Excellence and Impact, as appropriate. The scoring grids contain specific points to note for each assessment criterion to help ensure consistency in assessment.

INVESTMENT MECHANISM		SCORING GRID PAGE REFERENCE	
		EXCELLENCE	IMPACT
SMART IDEAS	Concept	14-15	Not assessed
	Full proposal	14-15	19-20
RESEARCH PROGRAMMES	Full proposal	14-15	21-22 (Protect and Add Value)
			23-24 (Transform)

- [Endeavour Fund 2023 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 11 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 27 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 from the scoring grid ranging from 1 (low quality) to 7 (high quality) which best matches your assessment. Make sure that the language in your comments is consistent with the words in the scoring 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.

Applicants now have the choice to use one of two CV templates to outline their skills and experience most relevant to the proposal they are participating in. One is the existing academic CV format, the other is a narrative-style CV format. Please note that both CV formats ask for the same information, but the narrative-style CV provides more flexibility in the way the information is portrayed. Both carry equal weight and should be assessed equally.

Record your assessment scores in IMS (see page 28) 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 grids. Do not include names and be mindful that:

- if requested, your comments may be released under the Official Information Act 1982
- word limits for comments apply (280 words per comment); 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 on how well the proposal will give effect to the Vision Mātauranga Policy (see next section)
- 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 (25 - 50 words each) regarding the main strength and the main weakness of the proposal for feedback directly 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 ASSESSMENT

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. Vision Mātauranga is designed to inspire researchers to find innovative responses to opportunities and solutions to issues and needs facing our country. This includes encouraging and building the capability, capacity and networks of Māori and the research community to collaborate in carrying out this work. The policy applies across, and is integrated within, all MBIE science investment mechanisms.

Proposals can give effect to the Vision Mātauranga policy by considering the various ways in which Māori communities, knowledge and resources may be enabled, mobilised, and empowered in research, science and innovation. The manner and extent to which proposals give effect to Vision Mātauranga may differ depending on the research.

Very strong applications, giving effect to Vision Mātauranga, may be Māori-led or co-led. Strong applications may have Māori researchers or traditional knowledge holders as part of the team; or may work meaningfully with Māori communities, interest groups, businesses, or key individuals. Strong applications enabling Māori knowledge may use kaupapa Māori approaches or draw richly on mātauranga Māori. Others may incorporate Māori principles or perspectives into the research.

Enabling Māori people will be an important part of giving effect to Vision Mātauranga, as the appropriate understanding, development, and protection of Māori knowledge and resources will have Māori input.

Research positioned to give effect to Vision Mātauranga will create distinctive and meaningful impact for Māori and for New Zealand in any or all of the following ways:

- Enhancing productivity and performance of Māori and non-Māori enterprise through new products, processes, and services.
- Achieving environmental sustainability by utilising distinctive Māori relationships with the environment.
- Improving health¹ and social well-being for Māori.
- Generating new knowledge at the interface between indigenous knowledge (including mātauranga Māori) and research, science and innovation.
- Generating new indigenous knowledge (including mātauranga Māori) and research, science, and innovation.

The Excellence and Impact assessments include Vision Mātauranga. During your 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, output 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 only you will also be asked to comment why.

¹ The Endeavour Fund does not fund research with primarily health outcomes but will support this as a secondary outcome, as long as the main health outcomes contribute less than 50% of the proposal's outcomes.

EXCELLENCE ASSESSMENT

To assess Excellence, read and understand the points to note below and use the scoring grids on the following pages to help form your assessment and determine a score. The same scoring 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 EXCELLENCE		
<p>Consider Excellence in the context of:</p> <ul style="list-style-type: none"> Research horizons: Early-stage research may pose higher scientific or technical risk than later-stage research. Both approaches are valid. Areas of research: Excellent research should be appropriate to the relevant discipline(s). 	Dissemination	<ul style="list-style-type: none"> Making the research results available for potential end- (or next-) users so that impact and benefits can be achieved. May vary according to the situation and should not be confined to publications in peer-reviewed scientific journals.
	Risk	<ul style="list-style-type: none"> 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. Technical risk may be associated with a new technology, which will need to be developed during the research.
	Risk Management	<ul style="list-style-type: none"> Risk should be managed through risk mitigation strategies and/or contingency plans. Residual risk should be considered against the potential additional scientific value.
	Novelty	<ul style="list-style-type: none"> A new method or idea. All or some elements of a proposal may be novel. Novelty can range from making incremental to ground-breaking advances.
	Innovation	<ul style="list-style-type: none"> Bringing in new methods or ideas. 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. Can include the application of existing processes or techniques in new or unexpected areas.
	Well-positioned	<p>The research:</p> <ul style="list-style-type: none"> takes account of existing knowledge and research, either by: <ul style="list-style-type: none"> avoiding redundancy or overlap, or using existing knowledge/research as a platform for achieving more significant advances in knowledge than would otherwise be the case links with key related science activities (often funded separately) are described and are complementary or synergistic has international links that provide leverage and additional value.

	A credible research plan	<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"> • the research methodology and methods • the research design and proposed outputs • a risk management and mitigation plan • provision for access to and use of the facilities and equipment for carrying out the research.
	Skills mix	<p>Consider whether the:</p> <ul style="list-style-type: none"> • mix of skills is appropriate to the research • whole team has the level of experience and other attributes which give confidence in their ability to deliver the research.

ASSESSMENT CRITERIA AND SCORING GRIDS

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

SCIENCE CRITERION	SCORE & KEYWORDS						
	1 (Low quality)	2	3	4	5	6	7 (High Quality)
<p>RESEARCH SHOULD BE WELL-DESIGNED, INVOLVE RISK AND/OR NOVELTY, AND LEVERAGE ADDITIONAL VALUE FROM WIDER RESEARCH</p> <p>When assessing the SCIENCE criterion, Assessors will consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> 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? 	<p><i>None</i> <i>Not/no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Lacking</i> <i>Unlikely</i></p>	<p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possible</i></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonable</i> <i>Quite likely</i></p>	<p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i> <i>Probable</i></p>	<p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Extensive</i> <i>Certain</i></p>	<p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Total</i> <i>Definite</i></p>
	<p>For example:</p> <p>No additional value is leveraged from wider research.</p> <p>No new knowledge will be progressed or disseminated.</p> <p>The proposal design is not fit for purpose.</p> <p>Risk is not managed.</p> <p>There is no risk and/or novelty.</p> <p>There is no recognition of the distinctive research, science and innovation contributions of Māori people, knowledge, and resources, including Mātauranga Māori.</p>	<p>For example:</p> <p>Little additional value is leveraged from wider research.</p> <p>Minimal new knowledge will be progressed or disseminated.</p> <p>The proposal design is poor.</p> <p>Risk management is doubtful.</p> <p>There is minimal risk and/or novelty.</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:</p> <p>Some additional value is leveraged from wider research.</p> <p>Limited new knowledge will be progressed and disseminated.</p> <p>The proposal design is limited.</p> <p>Risk management lacks detail.</p> <p>There is some risk and/or novelty.</p> <p>There is partial recognition of the distinctive research, science and innovation contributions of Māori people, knowledge, and resources, including Mātauranga Māori</p>	<p>For example:</p> <p>Sufficient additional value is leveraged from wider research.</p> <p>Adequate new knowledge will be progressed and disseminated.</p> <p>The proposal design is sufficient.</p> <p>Risk management is adequate.</p> <p>There is acceptable risk and/ or novelty.</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:</p> <p>Substantial additional value is leveraged from wider research.</p> <p>Significant new knowledge will be progressed and disseminated.</p> <p>The proposal design is clear.</p> <p>Risk management is good.</p> <p>There is significant risk and/or novelty.</p> <p>There is good recognition of the distinctive research, science and innovation contributions of Māori people, knowledge, and resources, including Mātauranga Māori.</p>	<p>For example:</p> <p>Comprehensive additional value is leveraged from wider research.</p> <p>Extensive new knowledge will be progressed and disseminated.</p> <p>The proposal design is strong.</p> <p>Risk management is very good.</p> <p>There is high risk and/or novelty.</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:</p> <p>Outstanding additional value is leveraged from wider research.</p> <p>Impressive new knowledge will be progressed and disseminated.</p> <p>The proposal design is excellent.</p> <p>Risk management is exemplary.</p> <p>There is impressive risk and/or novelty.</p> <p>There is excellent recognition of the distinctive research, science and innovation contributions of Māori people, knowledge, and resources, including Mātauranga Māori.</p>

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

TEAM CRITERION	SCORE & KEYWORDS						
<p>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.</p>	<p>1 (Low quality)</p> <p><i>None</i> <i>Not/no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p>2</p> <p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Lacking</i> <i>Unlikely</i></p>	<p>3</p> <p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possible</i></p>	<p>4</p> <p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonable</i> <i>Quite likely</i></p>	<p>5</p> <p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i> <i>Probable</i></p>	<p>6</p> <p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Extensive</i> <i>Certain</i></p>	<p>7 (High Quality)</p> <p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Total</i> <i>Definite</i></p>
<p>When assessing the TEAM criterion, Assessors will consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> Does the team have the appropriate mix of complementary skills, knowledge, and resources for the research? Does the team give confidence in their ability to deliver the proposed research, science, technology, or related activities and manage risks? Does the team have the appropriate Māori expertise for the project? 	<p>For example:</p> <p>The team has none of the skills, knowledge, or resources needed.</p> <p>The team gives no confidence in their ability to deliver the research or manage risks.</p> <p>Appropriate Māori expertise in the team is missing.</p>	<p>For example:</p> <p>The team has an inadequate mix of the skills, knowledge and resources needed.</p> <p>The team gives little confidence in their ability to deliver the research or manage risks.</p> <p>There is minimal appropriate Māori expertise in the team.</p>	<p>For example:</p> <p>The team has a limited mix of the skills, knowledge and resources needed.</p> <p>The team gives some confidence in their ability to deliver the research and manage risks.</p> <p>There is limited appropriate Māori expertise in the team.</p>	<p>For example:</p> <p>The team has a suitable mix of the skills, knowledge and resources needed.</p> <p>The team gives adequate confidence in their ability to deliver the research and manage risks.</p> <p>There is reasonable appropriate Māori expertise in the team.</p>	<p>For example:</p> <p>The team has a good mix of the skills, knowledge and resources needed.</p> <p>The team gives good confidence in their ability to deliver the research and manage risks.</p> <p>There is significant appropriate Māori expertise in the team.</p>	<p>For example:</p> <p>The team has a comprehensive mix of the skills, knowledge and resources needed.</p> <p>The team gives high confidence in their ability to deliver the research and manage risks.</p> <p>There is comprehensive appropriate Māori expertise in the team.</p>	<p>For example:</p> <p>The team has an impressive mix of the necessary skills, knowledge and resources needed.</p> <p>The team gives outstanding confidence in their ability to deliver the research and manage risks.</p> <p>There is exemplary appropriate Māori expertise in the team.</p>

IMPACT ASSESSMENT

To assess Impact, read and understand the points noted below and use the appropriate scoring grid on the following pages to help form your assessment and determine a score. Please refer to Page 9 to determine the appropriate scoring grid for the proposal you are assessing.

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"> • benefits across multiple sectors • faster uptake of results in multiple areas • improved state of the environment • potential to scale up regional initiatives to nation-wide implementation • consistency of standards or approaches for regulators • improved social well-being • better use of resources • preservation or enhancement of cultural heritage and values • more efficient processes • upskilling industry • support for emerging new sectors 	<p>Scale</p>	<p>Size expressed in a way which sensibly reflects the end-use area. For example:</p> <ul style="list-style-type: none"> • an economic development project may express scale in financial terms or degree of penetration of markets • 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. <p>In assessing estimates of scale, consider:</p> <ul style="list-style-type: none"> • value over and above that which would be expected to occur anyway through routine research investment by existing, scientifically competent businesses or user organisations • value which exceeds the cost of doing the research.
	<p>Extent</p>	<p>The coverage of the benefits, irrespective of scale, whether benefits are concentrated in a narrow area (e.g., individual organisations) or are of widespread potential impact. Given a particular scale of impact, score proposals of widespread coverage more highly than those of narrow coverage. Benefit should not be to a single firm or end-user.</p> <p>Consider the extent to which proposals will enable:</p> <ul style="list-style-type: none"> • potential impact for New Zealand • 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 • increased uptake of wider existing investment and knowledge in New Zealand and overseas • greater effect to be given to Vision Mātauranga.
	<p>Alignment with areas of future value, growth or critical need.</p>	<p>Proposals should reflect Government policy, strategy and roadmaps where relevant. Alignment with such documents is one way to help demonstrate future value, growth or critical need.</p>

SPECIFIC POINTS TO NOTE FOR IMPLEMENTATION PATHWAY(S)		
<ul style="list-style-type: none"> • creation of a research platform which has additional utility for new users • job creation e.g., 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. 	<p>Credible implementation pathway(s)</p>	<p>Sufficient end- or next-user information to confirm that the analysis takes account of the characteristics of the area in which it will be used and is not simply a generic description. There needs to be enough detail so that pathway(s) can be traced, and the role of each participant/end-user is clear.</p> <p>The implementation pathway(s) is expected to be appropriate to the state of the sector or the stage of the research, e.g., if the research is:</p> <ul style="list-style-type: none"> • 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. <p>In both cases, there should be some indication that pathway(s) have been given serious thought and that the implementation is not limited to a ‘one size fits all’ approach. The plan to deliver impact 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 where the pathway(s) can be indicative.</p>
	<p>Strength of the relationships</p>	<p>The provision of co-funding in some cases may reflect the level of end-user or stakeholder commitment. In others, co-funding may not be a relevant factor (co-funding is not a requirement for proposals).</p> <p>Measure against a range of parameters which include the:</p> <ul style="list-style-type: none"> • length of time over which the relationship has been developed • quality of the relationship (e.g., deep seated or superficial) • level of commitment of the stakeholders/next-users/end-users/beneficiaries. <p>To some extent, the level of commitment can be gauged from:</p> <ul style="list-style-type: none"> • the level of user involvement in steering the research (e.g., 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**

<p>Proposals submitted in the Transform category should meet both the following criteria:</p> <ul style="list-style-type: none"> • Outcomes - is 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 • Impact – could the research ultimately lead 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. 	<p>Credibility</p>	<p>The end-users need to credibly link to the implementation of the projected impacts.</p> <p>For proposals submitted under the Protect and Add Value impact category, if there is no relevant link, the strength of the relationship is irrelevant, and the score should be marked down accordingly.</p> <p>For proposals submitted under the Transform Impact category, in a new industry with no existing end-users, then the envisioned end-users should be described and what types of relationships would need to be developed.</p>
	<p>Team impact track record</p>	<p>Where the Applicant describes the mix of complementary skills and experience within the team, relevant to achieving impact. Includes team members experience in applying research findings commercially or non-commercially leading to economic, social and environmental impact. It builds on the information provided in the CVs and could include details of:</p> <ul style="list-style-type: none"> • ‘spin-off’ companies • licensing intellectual property • applications of knowledge in policy • social to environmental domains • development and commercialisation of software and technical products, etc.
<p>Important note: Applicants have been advised that proposals that do not meet both the criteria above should have been submitted in the 'Protect and Add Value' category. Use the Transform scoring grid when assessing all proposals submitted under the 'Transform' category.</p> <p>For the avoidance of doubt, the focus of assessment for proposals in the Transform category is on the nature rather than the size of the impact.</p> <p>Evidence of a large impact will not be taken as conclusive evidence of a transformational impact.</p>		

IMPACT ASSESSMENT SCORING GRID: Smart Ideas Full Proposals

BENEFIT TO NEW ZEALAND CRITERION	SCORE & KEYWORDS						
	1 (Low quality)	2	3	4	5	6	7 (High quality)
<p>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><i>None</i> <i>Not/no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Lacking</i> <i>Unlikely</i></p>	<p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possible</i></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonable</i> <i>Quite likely</i></p>	<p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i> <i>Probable</i></p>	<p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Extensive</i> <i>Certain</i></p>	<p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Total</i> <i>Definite</i></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"> 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? 	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is negligible.</p> <p>The outcomes have no alignment with any 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>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is minimal.</p> <p>The outcomes have doubtful alignment with one or more areas of future additional value, growth, or critical need.</p> <p>The project has poorly identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is limited.</p> <p>The outcomes have some alignment with one or more areas of future additional value, growth, or critical need.</p> <p>The project has partially identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is adequate.</p> <p>The outcomes have reasonable alignment with one or more areas of future additional value, growth, or critical need.</p> <p>The project has adequately identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is significant.</p> <p>The outcomes have good alignment with one or more areas of future additional value, growth, or critical need.</p> <p>The project has clearly identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is extensive.</p> <p>The outcomes have very good alignment with one or more areas of future additional value, growth, or critical need.</p> <p>The project has comprehensively identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is outstanding.</p> <p>The outcomes have outstanding alignment with one or more areas of future additional value, growth, or critical need.</p> <p>The project has outstandingly identified and evaluated the potential impacts for Māori.</p>

IMPACT ASSESSMENT SCORING GRID: Smart Ideas Full Proposals

IMPLEMENTATION PATHWAY(S) CRITERION	SCORE & KEYWORDS						
	1 (Low quality)	2	3	4	5	6	7 (High quality)
<p>RESEARCH SHOULD HAVE A CREDIBLE INDICATIVE IMPLEMENTATION PATHWAY(S) TO DELIVER PUBLIC BENEFIT TO NEW ZEALAND, NOT LIMITED TO A SINGLE FIRM OR END-USER; AND WHICH MAY BE UNCERTAIN IN NATURE.</p>	<p><i>None</i> <i>Not/no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Lacking</i> <i>Unlikely</i></p>	<p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possible</i></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonable</i> <i>Quite likely</i></p>	<p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i> <i>Probable</i></p>	<p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Extensive</i> <i>Certain</i></p>	<p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Total</i> <i>Definite</i></p>
<p>When assessing the IMPLEMENTATION PATHWAY(S) criterion, Assessors will consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> 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 is adequately resourced, to ensure effective implementation? <p>Note: If the IMPLEMENTATION PATHWAY(S) is limited to a single firm or end-user, the IMPLEMENTATION PATHWAY(S) score must be 1.</p>	<p>For example:</p> <p>The indicative implementation pathway(s) is not credible because:</p> <ul style="list-style-type: none"> the appropriate supporting information is missing evidence of relevant strong relationships is missing it will not deliver public benefit to New Zealand as benefit is limited to a single firm or end-user. <p>The proposal has no input from Māori at the appropriate stage(s) or levels to ensure effective implementation.</p>	<p>For example:</p> <p>The indicative implementation pathway(s) has minimal credibility because:</p> <ul style="list-style-type: none"> the appropriate supporting information is insufficient evidence of relevant strong relationships is poor it will be unlikely to deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The proposal has little input from Māori at the appropriate stage(s) or levels to ensure effective implementation.</p>	<p>For example:</p> <p>The indicative implementation pathway(s) has limited credibility because:</p> <ul style="list-style-type: none"> the appropriate supporting information lacks detail evidence of relevant strong relationships is limited it will possibly deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The proposal has some input from Māori at the appropriate stage(s) or levels to ensure effective implementation.</p>	<p>For example:</p> <p>The indicative implementation pathway(s) has acceptable credibility because:</p> <ul style="list-style-type: none"> the appropriate supporting information is adequate evidence of relevant strong relationships is sufficient it will quite likely deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The proposal has adequate input from Māori at the appropriate stage(s) or levels to ensure effective implementation.</p>	<p>For example:</p> <p>The indicative implementation pathway(s) has good credibility because:</p> <ul style="list-style-type: none"> the appropriate supporting information is substantial evidence of relevant strong relationships is substantial it will probably deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The proposal has significant input from Māori at the appropriate stage(s) or levels to ensure effective implementation.</p>	<p>For example:</p> <p>The indicative implementation pathway(s) has very good credibility because:</p> <ul style="list-style-type: none"> the appropriate supporting information is comprehensive evidence of relevant strong relationships is comprehensive it will certainly deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The proposal has very good input from Māori at the appropriate stage(s) or levels to ensure effective implementation.</p>	<p>For example:</p> <p>The indicative implementation pathway(s) has outstanding credibility because:</p> <ul style="list-style-type: none"> the appropriate supporting information is exemplary evidence of relevant strong relationships gives total confidence it will definitely deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The proposal includes outstanding engagement with Māori at the appropriate stage(s) or levels to ensure effective implementation.</p>

IMPACT ASSESSMENT SCORING GRID: Research Programmes Full Proposals – Protect and Add Value Impact Category

BENEFIT TO NEW ZEALAND	SCORE & KEYWORDS						
	1 (Low quality)	2	3	4	5	6	7 (High quality)
<p>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><i>Not/no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Lacking</i> <i>Unlikely</i></p>	<p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possible</i></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonable</i> <i>Quite likely</i></p>	<p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i> <i>Probable</i></p>	<p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Extensive</i> <i>Certain</i></p>	<p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Total</i> <i>Definite</i></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"> 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? 	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is negligible.</p> <p>The outcomes have no alignment with any 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>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is minimal.</p> <p>The outcomes have doubtful alignment with one or more areas of future additional value, growth or critical need.</p> <p>The project poorly has identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is limited.</p> <p>The outcomes have some alignment with one or more areas of future additional value, growth or critical need.</p> <p>The project has partially identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is adequate.</p> <p>The outcomes have reasonable alignment with one or more areas of future additional value, growth or critical need.</p> <p>The project has adequately identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is significant.</p> <p>The outcomes have good alignment with one or more areas of future additional value, growth or critical need.</p> <p>The project has clearly identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is extensive.</p> <p>The outcomes have very good alignment with one or more areas of future additional value, growth or critical need.</p> <p>The project has comprehensively identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The scale and extent of the potential (direct or indirect) benefits of the proposed work is outstanding.</p> <p>The outcomes have outstanding alignment with one or more areas of future additional value, growth or critical need.</p> <p>The project has outstandingly identified and evaluated the potential impacts for Māori.</p>

IMPACT ASSESSMENT SCORING GRID: Research Programmes Full Proposals – Protect and Add Value Impact Category

IMPLEMENTATION PATHWAY(S) CRITERION	SCORE & KEYWORDS						
	1 (Low quality)	2	3	4	5	6	7 (High quality)
<p>RESEARCH SHOULD HAVE A CREDIBLE PATHWAY(S) TO DELIVER PUBLIC BENEFIT TO NEW ZEALAND THAT IS NOT LIMITED TO A SINGLE FIRM OR END-USER, AND HAS A LINE OF SIGHT TO IMPACT.</p>	<p><i>None</i> <i>Not/no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Lacking</i> <i>Unlikely</i></p>	<p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possible</i></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonable</i> <i>Quite likely</i></p>	<p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i> <i>Probable</i></p>	<p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Extensive</i> <i>Certain</i></p>	<p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Total</i> <i>Definite</i></p>
<p>When assessing the IMPLEMENTATION PATHWAY(S) criterion, Assessors will consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> Does the proposal provide credible end- or next-user information, to confirm that the implementation pathway(s) 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 the mix of skills and experience within the team complementary and relevant to achieving impact from what is proposed? Does the proposal include sufficient input from Māori that is adequately resourced, at the appropriate stage(s) of the project, to ensure effective implementation? <p>Note: If the IMPLEMENTATION PATHWAY(S) is limited to a single firm or end-user, the IMPLEMENTATION PATHWAY(S) score must be 1.</p>	<p>For example: The implementation pathway(s) is not credible because:</p> <ul style="list-style-type: none"> it does not have information to confirm the pathway is appropriate to the state of the sector or stage of the research evidence of relevant strong relationships is missing it does not have a line of sight to impact it will not deliver public benefit to New Zealand, as benefit is limited to a single firm or end-user. <p>There are no skills or experience within the team relevant to achieving impact.</p> <p>The proposal does not include appropriate input from Māori.</p>	<p>For example: The implementation pathway(s) has minimal credibility because:</p> <ul style="list-style-type: none"> it has inadequate information to confirm the pathway is appropriate to the state of the sector or stage of the research evidence of relevant strong relationships is poor it has a doubtful line of sight to impact it will be unlikely to deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The skills and experience of the team, relevant to achieving impact, are lacking.</p> <p>The proposal has little input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The implementation pathway(s) has partial credibility because:</p> <ul style="list-style-type: none"> it has incomplete information to confirm the pathway is appropriate to the state of the sector or stage of the research evidence of relevant strong relationships is limited it has a possible line of sight to impact it will possibly deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The skills and experience of the team, relevant to achieving impact, are limited.</p> <p>The proposal has some input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The implementation pathway(s) has acceptable credibility because:</p> <ul style="list-style-type: none"> it has adequate information to confirm the pathway is appropriate to the state of the sector or stage of the research evidence of relevant strong relationships is sufficient it has a quite likely line of sight to impact it will quite likely deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The skills and experience of the team, relevant to achieving impact, are suitable.</p> <p>The proposal has reasonable input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The implementation pathway(s) has good credibility because:</p> <ul style="list-style-type: none"> it has good information to confirm the pathway is appropriate to the state of the sector or stage of the research evidence of relevant strong relationships is substantial it has a probable line of sight to impact it will probably deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The skills and experience of the team, relevant to achieving impact, are good.</p> <p>The proposal has significant input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The implementation pathway(s) has very good credibility because:</p> <ul style="list-style-type: none"> it has very good information to confirm the pathway is appropriate to the state of the sector or stage of the research evidence of relevant strong relationships is comprehensive it has a certain line of sight to impact it will certainly deliver benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The skills and experience of the team, relevant to achieving impact, are very good.</p> <p>The proposal has extensive input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The implementation pathway(s) has outstanding credibility because:</p> <ul style="list-style-type: none"> it has excellent information to confirm the pathway is appropriate to the state of the sector or stage of the research evidence of relevant strong relationships gives total confidence it has a definite line of sight to impact it will definitely deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user.</p> <p>The skills and experience of the team, relevant to achieving impact, are outstanding.</p> <p>The proposal has impressive engagement with Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>

IMPACT ASSESSMENT SCORING GRID: Research Programmes Full Proposals – Transform Impact Category

BENEFIT TO NEW ZEALAND CRITERION	SCORE & KEYWORDS						
	1 (Low quality)	2	3	4	5	6	7 (High quality)
<p>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><i>Not/no</i> <i>Not fit for purpose</i> <i>Negligible</i> <i>Missing</i> <i>Not credible</i></p>	<p><i>Minimal</i> <i>Poor</i> <i>Little</i> <i>Inadequate</i> <i>Insufficient</i> <i>Doubtful</i> <i>Lacking</i> <i>Unlikely</i></p>	<p><i>Limited</i> <i>Uncertain</i> <i>Some</i> <i>Partial</i> <i>Incomplete</i> <i>Lacks detail</i> <i>Possible</i></p>	<p><i>Acceptable</i> <i>Sufficient</i> <i>Suitable</i> <i>Adequate</i> <i>Reasonable</i> <i>Quite likely</i></p>	<p><i>Significant</i> <i>Good</i> <i>Substantial</i> <i>Well</i> <i>Clear</i> <i>Large</i> <i>Probable</i></p>	<p><i>Strong</i> <i>High</i> <i>Comprehensive</i> <i>Very good</i> <i>Very well</i> <i>Extensive</i> <i>Certain</i></p>	<p><i>Excellent</i> <i>Exemplary</i> <i>Impressive</i> <i>Outstanding</i> <i>Total</i> <i>Definite</i></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"> 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? <p>To avoid doubt, the focus of assessment for proposals in the ‘Transform’ category is on the nature rather than the size of the impact. Evidence of a large impact will not be taken as conclusive evidence of a transformational impact.</p>	<p>For example:</p> <p>The outcomes enabled by the research:</p> <ul style="list-style-type: none"> will not result in a Radical Change and/or leap in performance vs the status quo have no alignment with any areas of future additional value, growth or critical need. <p>The potential benefits for New Zealand are not transformational in nature.</p> <p>The project has not identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The outcomes enabled by the research:</p> <ul style="list-style-type: none"> will not result in a Radical Change and/or leap in performance vs the status quo have doubtful alignment with one or more areas of future additional value, growth, or critical need. <p>The potential benefits for New Zealand are unlikely to be transformational in nature.</p> <p>The project has poorly identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The outcomes enabled by the research:</p> <ul style="list-style-type: none"> will not result in a Radical Change and/or leap in performance vs the status quo have some alignment with one or more areas of future additional value, growth, or critical need. <p>The potential benefits for New Zealand are possibly transformational in nature.</p> <p>The project has partially identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The outcomes enabled by the research:</p> <ul style="list-style-type: none"> will result in a Radical Change and/or leap in performance vs status quo have reasonable alignment with one or more areas of future additional value, growth, or critical need. <p>The potential benefits for New Zealand are quite likely transformational in nature.</p> <p>The project has adequately identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The outcomes enabled by the research:</p> <ul style="list-style-type: none"> will result in a Radical Change and/or leap in performance vs the status quo have good alignment with one or more areas of future additional value, growth, or critical need. <p>The potential benefits for New Zealand are probably transformational in nature.</p> <p>The project has clearly identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The outcomes enabled by the research:</p> <ul style="list-style-type: none"> will result in a Radical Change and/or leap in performance vs status quo have very good alignment with one or more areas of future additional value, growth, or critical need. <p>The potential benefits for New Zealand are certainly transformational in nature.</p> <p>The project has comprehensively identified and evaluated the potential impacts for Māori.</p>	<p>For example:</p> <p>The outcomes enabled by the research:</p> <ul style="list-style-type: none"> will result in a Radical Change and/or leap in performance vs the status quo have outstanding alignment with one or more areas of future additional value, growth, or critical need. <p>The potential benefits for New Zealand are definitely transformational in nature.</p> <p>The project has outstandingly identified and evaluated the potential impacts for Māori.</p>

IMPACT ASSESSMENT SCORING GRID: Research Programmes Full Proposals – Transform Impact Category

IMPLEMENTATION PATHWAY(S) CRITERION RESEARCH SHOULD HAVE A CREDIBLE 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.	SCORE & KEYWORDS						
	1 (Low quality) <i>None Not/no Not fit for purpose Negligible Missing Not credible</i>	2 <i>Minimal Poor Little Inadequate Insufficient Doubtful Lacking Unlikely</i>	3 <i>Limited Uncertain Some Partial Incomplete Lacks detail Possible</i>	4 <i>Acceptable Sufficient Suitable Adequate Reasonable Quite likely</i>	5 <i>Significant Good Substantial Well Clear Large Probable</i>	6 <i>Strong High Comprehensive Very good Very well Extensive Certain</i>	7 (High quality) <i>Excellent Exemplary Impressive Outstanding Total Definite</i>
<p>When assessing the IMPLEMENTATION PATHWAY(S) criterion, Assessors will consider how well the proposal addresses each of the following questions:</p> <ul style="list-style-type: none"> 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 from what is proposed? Does the proposal include sufficient input from Māori that is adequately resourced, at the appropriate stage(s) of the project, to ensure effective implementation? <p>Note: If the IMPLEMENTATION PATHWAY(S) is limited to a single firm or end-user, the IMPLEMENTATION PATHWAY(S) score must be 1.</p>	<p>For example: The indicative implementation pathway(s) is not credible because:</p> <ul style="list-style-type: none"> the proposal demonstrates no understanding of the enablers and barriers in potential implementation pathway(s) indicative end- or next-users, beneficiaries or stakeholders have not been identified it will not deliver public benefit to New Zealand, as benefit is limited to a single firm or end-user. <p>There are no skills or experience within the team relevant to achieving impact. The proposal does not include appropriate input from Māori.</p>	<p>For example: The indicative implementation pathway(s) has minimal credibility because:</p> <ul style="list-style-type: none"> the proposal demonstrates little understanding of the enablers and barriers in potential implementation pathway(s) there is little identification of indicative end- or next-users, beneficiaries, or stakeholders will be unlikely to deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user. The skills and experience of the team, relevant to achieving impact, are doubtful. The proposal has little input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The indicative implementation pathway(s) has partial credibility because:</p> <ul style="list-style-type: none"> the proposal demonstrates some understanding of the enablers and barriers in potential implementation pathway(s) there is some identification of indicative end- or next-users, beneficiaries, or stakeholders will possibly deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user. The skills and experience of the team, relevant to achieving impact, are limited. The proposal has some input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The indicative implementation pathway(s) has acceptable credibility because:</p> <ul style="list-style-type: none"> the proposal demonstrates reasonable understanding of the enablers and barriers in potential implementation pathway(s) there is sufficient identification of indicative end- or next-users, beneficiaries, or stakeholders will quite likely deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user. The skills and experience of the team, relevant to achieving impact, are suitable. The proposal has reasonable input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The indicative implementation pathway(s) has good credibility because:</p> <ul style="list-style-type: none"> the proposal demonstrates clear understanding of the enablers and barriers in potential implementation pathway(s) there is clear identification of indicative end- or next-users, beneficiaries, or stakeholders will probably deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user. The skills and experience of the team, relevant to achieving impact, are substantial. The proposal has significant input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The indicative implementation pathway(s) has very good credibility because:</p> <ul style="list-style-type: none"> the proposal demonstrates comprehensive understanding of the enablers and barriers in potential implementation pathway(s) there is very good identification of indicative end- or next-users, beneficiaries or stakeholders will certainly deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user. The skills and experience of the team, relevant to achieving impact, are comprehensive. The proposal has extensive input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</p>	<p>For example: The indicative implementation pathway(s) has outstanding credibility because:</p> <ul style="list-style-type: none"> the proposal demonstrates outstanding understanding of the enablers and barriers in potential implementation pathway(s) there is impressive identification of indicative end- or next-users, beneficiaries, or stakeholders will definitely deliver public benefit to New Zealand. <p>Benefit is not limited to a single firm or end-user. The skills and experience of the team, relevant to achieving impact, are exemplary. The proposal has outstanding input from Māori, at the appropriate stage(s) or levels, to ensure effective implementation.</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 actions are performed in IMS.

For all IMS queries, email imssupport@mbie.govt.nz or call 0800 693 778 (Monday to Friday, 8:30am to 4:30pm).

ACCESSING IMS

► Log in to IMS

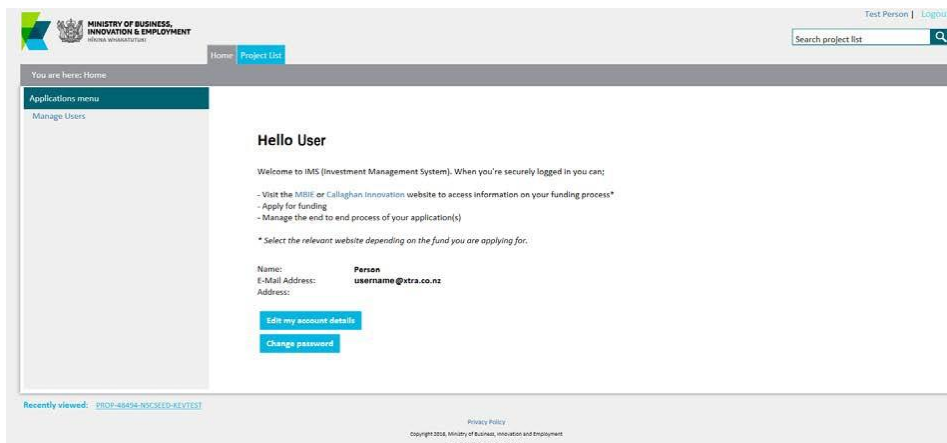
Five or more failed log in attempts will automatically lock you out of the system. If this occurs, contact MBIE and ask for your account to be unlocked.

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/).
2. Type your Username and Password.
3. Click the **Login Securely** button. The IMS **Home** tab displays.

► Logout of IMS

Do one of the following:

1. Click the **Logout** hyperlink (located top right of every tab).
2. Click the  (where UN is your initials) located top right of assessment **Scoring** page.

ACCEPTING/DECLINING ASSIGNED PROPOSALS

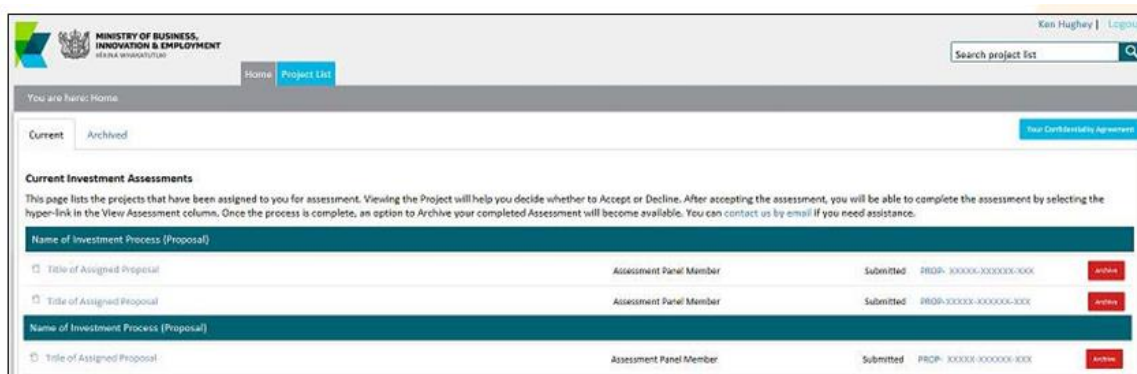
Proposals will be assigned to you for preliminary assessment in November 2022. Additional proposals may be assigned to you after this period as a result of adjustments required due to any declared conflict of interests.

► To accept (or decline) an assignment:

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

This agreement will only display 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.



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:

- 2023 Endeavour Fund – Smart Ideas (Concepts)
 - 2023 Endeavour Fund – Smart Ideas (Full Proposals)
 - 2023 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. If after reading the proposal summary:
 - 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 comment box, 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 to discuss further.
 - There is **no conflict of interest**, close the summary and click the **Accept** button adjacent to the proposal. The assessment is allocated an **In progress** status.
6. 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. 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

► 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.

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

You must:

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

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.

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.

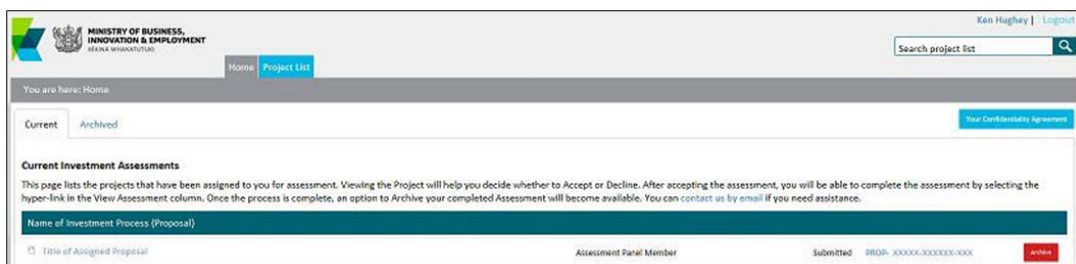
The **Submit** button is not active until all fields are complete.

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 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 COLOUR BAR	INDICATES YOU HAVE
	Recorded a response
	Yet to respond

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

UPDATING YOUR IMS 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.
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  button (where UN is your initials) located top right of assessment scoring pages.



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