# Smart Ideas Final Reporting template

Use this template for Smart Ideas final reporting. This template covers:

* The period you need to report on
* The required report content
* How and when to submit your report
* Contact details
* How we assess your report

**The period you need to report on**

The final report covers the whole Work Programme period - from the start of your contract to the end of your contract.

Smart Ideas contract holders should submit a final report in accordance with the terms of the contract (typically, within one month of the contracted end date).

**The required report content**

This template below covers all the content required for your report.

Complete all the sections in MS Word using the guidance provided.

**How and when to submit your report**

When ready:

1. Copy your completed MS Word report content into Pītau – our online portal.

If you don’t have access to Pītau you will need to request access from your Organisation Administrator.

1. Once completed, click the **Submit for QA** button. Your Organisation Administrator will then perform a quality assurance check, finalise your report, and submit to MBIE.

You can do this anytime from **Monday 1 July 2024.**

**Contact details**

If you have any questions, please contact your Research Office or Organisation Administrator first. Otherwise, feel free to contact MBIE using email addresses below:

General queries: [annualreporting@mbie.govt.nz](mailto:annualreporting@mbie.govt.nz)

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

## Section 1: Progress Reporting

|  |
| --- |
| 1.1 **Final update (4500 words maximum)**  The final report covers the whole Work Programme period – from the start of your contract to the end of your contract. It records how the intentions submitted in your proposal have been achieved.  The final update should be grouped under the following headings:   * Outcome Benefits to New Zealand - describe the benefits that have arisen because of your research being implemented. * Implementation Pathway - describe and cite evidence of uptake by end users. Attributed feedback from end users may be incorporated. Evidence is anything that can be used to verify uptake has occurred. Examples include documents or manuals, a company name, agreements to transfer technology, or sales. * Research, Science and Technology (RS&T) Benefits to New Zealand - describe any significant advances in knowledge, quality of the research, capability, or collaborative relationships. * Other information - this section may include any other important information that does not fit under the previous headings. For example: ability to deliver research, science, and technology results (i.e., the likelihood the research outputs will be achieved), serendipitous discoveries, spill-over benefits, and issues or potential issues, that may impact on the project.   Enter your answer here... |
| 1.2 **Publicly available information (1000 words maximum)**  Provide a short summary of your project, i.e., what you achieved. This information may be used in relevant media releases and for Ministerial reporting. Include:   * Up to five key achievements that occurred during this reporting period. * A link to your website for further information.   A key achievement may be a successful scientific result (discovery/breakthrough) or more of an outcome, for example, the commercialisation of results, incorporation of results into policy, successful partnering with an end user, or the development of a new market.  **Do not include any confidential information**  MBIE may publish information entered in this textbox on its website. From there, the information may be viewed and used by other research organisations, funding agencies or the public to obtain further information about the New Zealand Government's investments in scientific research.  Enter your answer here... |
| 1.3 **Confidential** **Key achievements (200 words maximum per key achievement)**  Enter any sensitive key achievements that occurred during the reporting period that you wish to remain confidential. It is acceptable (and highly useful) to link key achievements with comments made in the Final update.  A key achievement may be a successful scientific result (discovery/breakthrough) or more of an outcome, for example, the commercialisation of results, incorporation of results into policy, successful partnering with an end user, or the development of a new market.  Enter your answers here... |
| 1.4 **Project deliverable status (75 words maximum per entry)**  Choose the status of your work programme tasks during the reporting period.  Please note: Impact statements are now included within Research Aims, which in turn are now called ‘Deliverables’. Critical Steps are now ‘Tasks’.  **Status options**  If a task is past its due date, choose either:   * + **Complete**   + **Off Track**   If a task is not past its due date, choose one of the following:   * + **Complete** – means the task has been achieved.   + **On** **Track** – means that the project is proceeding as planned, with no issues. The delivery of an intermediate outcome/impact statement is not likely to be affected.   + **On Track with Issues** – means that the project has encountered an issue(s) in this area which may have an adverse impact on the delivery of an intermediate outcome/impact statement. A contract variation will likely resolve the issue(s).   + **Off Track** – means that the project has encountered an issue(s) that has significantly impacted the deliverables of the project.   If you select:   * + **On Track with Issues**, or **Off track**, provide a reason and any remedial action that you plan to take. There is no need to provide a commentary on progress that is **On Track**.   + **On Track**, or **Complete**, for these statuses, please just enter **N/A**.   Enter your answers here…  *Limit 75 words per entry* |
| **Project Deliverables Status (Continued)**  **Overall Research progress**  Select the status that best describes overall research progress:   * Achieved * On track * On track with issues * Off track   You may add a brief optional comment about research progress:  Enter your answer here…  **End user relationship**  Select the status that best describes end user relationships overall.   * Achieved * On track * On track with issues * Off track   You may add a brief optional comment about end user relationships.  Enter your answer here…  **Key Personnel**  Select the status that best describes availability of key personnel to your project.   * Achieved * On track * On track with issues * Off track   You may add a brief optional comment about key personnel.  Enter your answer here…  **Have there been any changes that have not been communicated to MBIE?**  Yes/No  If Yes, please explain.  Enter your answer here… |
| 1.5 **Work Programme Conditions**  If you have any contractual conditions, tell us how you continue to meet these conditions or provide (upload) supporting documentation that confirms the conditions are being met.  To check your contract conditions, in Pītau select **Contracts tab >** click into your **Contract > Conditions** section.  Enter your answers here... |
| 1.6 **Knowledge transfer (400 words maximum per entry)**  Provide the number of events or deliverables for the knowledge transfer types listed below with (optional) comments.  **Knowledge transfer type**  Select the type of knowledge transfer you want to report from the list below:   * Workshops and hui – events that are primarily for the transfer of knowledge to end users (i.e., not for the sharing of information between researchers). * Commissioned reports – reports that were commissioned under contract or other formal arrangement with an end user – usually for a fee. * Substantive information sharing and advice – when you provide substantive and separate pieces of advice, or your data, to other parties on a pro bono basis.  |  |  |  | | --- | --- | --- | | Knowledge transfer type | Number of events | Knowledge transfer comments | | Workshops and hui |  |  | | Commissioned reports |  |  | | Substantive information sharing and advice |  |  | |
| 1.7 **Non-peer-reviewed published articles (400 words maximum)**  Provide the total number of articles and reports about the contract that have been published during this reporting period.  Articles can be either electronic or on paper but must have been subject to some form of external quality control, for example, webmaster or editor. Examples that may be included are:   * Articles in trade journals, newspapers, or magazines. * Reports published on your organisation’s website.   Enter your answers here...  **Non-peer reviewed published articles comments (optional)**  Provide any information on outcomes if you wish to explain in more detail.  Enter your answers here... |
| 1.8 **New products, processes, and services (400 words maximum)**  Provide the number of any new product, process, or service that has either been introduced to market, or implemented by industry, government, other research organisations/users, or the community during the reporting period.  **Number of new products**  A product is a substantive article produced by manufacture or other means. For example, new plant cultivars, new or improved instrumentation, new materials or objects that otherwise embed information for example, decision support software, plans, blueprints.  Enter your answer here...  **Number of new processes**  A process is an operational system for preparing or supplying products. For example, frozen storage processes for food products, tests for the presence of diseases or compounds, substance extraction processes, or software that has been developed to manage processes. These should represent new or significantly enhanced methods or decision support processes that have been implemented by the end user.  Enter your answer here...  **Number of new services**  A service is an activity necessary for the management of organisations, systems, products, or processes. The provision of advice, (policy, technical or management) should only be included if the ability or opportunity to provide the advice is novel and based on the knowledge gained as a result of this contract. The advice should have resulted in some substantive outcome for example, a problem resolved, or decision-making criteria implemented.  Enter your answer here...  **New products, processes, and services (optional)**  Provide any information on key outcomes if you wish to explain in more detail.  Enter your answer here... |
| 1.9 **Science quality**  **For the reporting period, provide the number of:**   * **Peer-reviewed journal articles accepted for publication** * **Articles, book chapters or books accepted for publication that have been subject to a rigorous quality assurance process prior to publication** * **Papers or abstracts listed in publicly available conference proceedings** * **Recognised science achievements for research awarded** * **Oral feature presentations delivered by formal invitation at a recognised science forum** * **Published theses by postgraduate students employed on the project.**   Specify the number of times the events listed below occurred during the reporting period.  **Peer-reviewed journal articles in the year they are accepted for publication**  This refers to any article accepted for publication, in the reporting period, in a science journal that requires a rigorous quality assurance by peers prior to publication.  To ensure each article is counted once please report peer-reviewed journal articles in the year they are accepted for publication. Do not record them again when the article is published.  Enter your answer here...  **Number of books or chapters**  This refers to any article, book chapter or book accepted for publication in the reporting period that has been subject to a rigorous quality assurance process prior to publication.  Enter your answer here...  **Number of published conference proceedings**  This refers to any paper or abstract listed in publicly available conference proceedings (i.e., that can be purchased in book or disc format, or accessed online by anyone), but excluding any keynote presentations reported below, or conference proceedings published in a peer-reviewed journal. The conference must have taken place in the reporting period.  Enter your answer here...  **Awards for science achievement (not open internationally)**  This can be any recognised science achievement for research awarded in the reporting period. Please use this box if the award was only open to New Zealand candidates. Do not include degrees here.  Enter your answer here...  **Awards for science achievement (open internationally)**  This can be any recognised science achievement for research awarded in the reporting period. Please use this box for an award that was open internationally.  Enter your answer here...  **Keynote presentations (not open internationally)**  Oral feature presentations delivered by formal invitation at a recognised science forum that occurred in the reporting period, and which was open only to New Zealand candidates and participants.  Enter your answer here...  **Keynote presentations (open internationally)**  Oral feature presentations delivered by formal invitation at a recognised science forum that occurred in the reporting period, and which was open to international candidates and participants.  Enter your answer here...  **Number of masters or doctoral theses**  Publication of a thesis by a postgraduate student who has been employed on the project during the reporting period.  Enter your answer here...  **Science quality comments (optional) (400 words maximum)**  Provide any information on key outcomes if you wish to explain in more detail.  Enter your answer here... |
| 1.10 **Provisional patent and Plant Variety Rights (PVR) applications**  **Provide the number of any intellectual property (IP) items for which provisional protection is being sought. For example, the number of:**   * **Patent or Plant Variety Right (PVR) applications** * **Inventions or plant types for which you have lodged a patent or PVR application in one or more countries** * **Patent Cooperation Treaty (PCT) applications** * **Applications for full patents in one or more countries, administratively coordinated by the PCT, but granted in each country at the discretion of that country’s patent regulatory body.**   Enter your answer here...  **Provisional patent and PVR applications comments (optional) (400 words maximum)**  Provide any comments if you wish to explain in more detail.  Enter your answer here... |
| 1.11 **Patent and PVR grants**  **Provide the number of any patents granted in one or more countries as a result of completing the PCT process, or which have not gone through the PCT process but have been granted as a result of a direct application to the Intellectual Property Office of New Zealand or the equivalent body in another country. For example, the number of:**   * Inventions for which you have been granted a patent or PVR in one or more countries during the reporting period. * Discrete items are sought (for example, at the patent family level). * Do not recount multiple IP items that are identical except for the name of the countries where protection was granted.   Enter your answer here...  **Name the countries in which you have been granted Patents or PVRs (400 words maximum)**  Enter the countries you have been granted a patent(s) or PVR(s). You can also provide any comments if you wish to explain in more detail.  Enter your answer here... |

### Section 2: Revenue and contracting

|  |
| --- |
| 2.1 **Co-funding and subcontracting**  Provide the actual amount of co-funding or subcontracting for this reporting period.  In Pītau, the **Listed Amount** is the total amount across all Impact Statements listed in the contract. This is an automatically generated pro-rated GST exclusive calculation for the reporting period, based on a linear model across the life of the project.  You can enter any additional co-funding/subcontracting (i.e., not listed in your contract) that you have obtained by clicking the **Add Co-funding/Subcontracting Organisation** button at the bottom of each reporting section.  **Select** type of relationship and whether the co-funding was **Cash** or **In-kind** (non-cash). Please do not select **Aligned**.  In-kind co-funding should be valued using either the usual cost of the good or service as advised by the provider, or if the item is not generally traded, an estimation of the out-of-pocket costs sustained by the provider in making the good or service available to you.  If the amount received *(if co-funding)* or invoiced *(if subcontracting)* is not linear across the life of the project, a discrepancy between the **Listed Amount** and the **Actual Amount** may result. If this occurs, enter further details in the **Comment** field.  If the **Actual Amount** you entered is less than 80% or more than 120% of the **Listed Amount**, you must explain this in the **Comment** field.  If co-funding has been reduced or not achieved at all:   * Indicate how (or with what) you intend to replace it, and/or * Demonstrate that there is still end user support for the research.   Provide details about:   * the actual amount of co-funding and sub-contracting achieved against the amounts that were listed in your contract * any additional co-funding or sub-contracting (i.e., not listed in your contract) you have obtained.   Enter your answer here... |
| 2.2 **Revenue**  Provide information about any revenue that your organisation has obtained as a result of:   * New products, processes, or services * Revenue obtained from the sale of IP or consulting * Additional contracts won on the basis of knowledge generated by this contract.   Identify whether the revenue was obtained from overseas (overseas) or New Zealand (other).  Choose the option that best describes why your revenue activity:   * Related to a new or improved product * Related to a new or improved process * Related to a service * Related to a sale or use of IP * Consulting * From a follow-on contract with an end-user * Other   Enter the amounts of revenue received in $NZ (excluding GST).   |  |  |  |  | | --- | --- | --- | --- | | Source of revenue | Revenue activity | Amount $NZ ex GST | Comment (optional) | |  |  |  |  | |  |  |  |  | |

### Section 3: Formal collaborations

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 3.1 **Collaborations by country**  **Complete the table below and include collaborations for country, level, and the number.**  **Country**  Any collaborations your project has with overseas organisations, by country (select country from the list in Pītau).  **Level**  A formal collaboration is categorised as:   * **Strong** - if the objectives/research aims of your project could not be achieved without it. * **Medium** - if the objectives/research aims of your project could be achieved without it, but the result would be either lower quality, more expensive or take longer to achieve.   **Number of collaborations:**  Enter the number of organisations or institutes you are collaborating with in this country at this level of collaboration.   |  |  |  |  | | --- | --- | --- | --- | | Country | Level - Medium or Strong | Number | Comment | |  |  |  |  | |  |  |  |  | |

### Section 4: Capability building

|  |
| --- |
| 4.1 **Students**  Provide the number of Masters, Doctorate and Post-Doctoral researchers working on the project. These need to be entered as Full-time equivalents (FTEs).  ‘Obtaining’ refers to a student conducting a course of study and not the awarding of the particular qualification.  **Number of students obtaining Masters qualifications**  Enter your answer here…  **Number of students obtaining Doctoral qualifications**  Enter your answer here…  **Number of students obtaining Post-Doctoral qualifications**  For the purpose of this report, a Post-Doctoral researcher is an individual who (at the end of the reporting period) has six or less years’ experience of active research after receiving a Doctoral degree and is engaged in a temporary and defined period of research or mentored advanced training to enhance the professional skills and research independence needed to pursue their chosen career path.  Enter your answer here... |
| 4.2 **Secondments to or from end users**  Provide the number of end users that have been seconded from or to your organisation. These need to be entered as Full-time equivalents (FTEs).  Number of secondments as FTEs from an end user organisation.  Enter your answer here…  Number of secondments as FTEs to an end user organisation.  Enter your answer here... |

### Section 5: End user relationships

|  |
| --- |
| 5.1 **End user details (500 words maximum per entry)**  Provide details about organisations you have worked with during the reporting period in relation to this project. Include a brief description of how you are working with each organisation.  If the end user is new to the project, select the organisation name from the **Add organisation, sector or group** button. If you cannot find the organisation, please create a new organisation and provide contact details including full name, contact number, and email.  Please do not create new organisations for small groups, for example advisory group or focus groups.  **Briefly describe how you are working with this organisation**  For example: worked with Wellington Regional Council to identify prone areas in the Hutt River catchment.  Enter your answer here…  **Provide the contact details for the above organisation**  Contact Person…  Contact Phone…  Contact Email… |

### Section 6: Spinouts and start-ups

|  |
| --- |
| 6.1 **Spinouts and start-ups**  **Provide details of any spinouts and start-ups that have been established during the reporting period, including the name and contact details of the new entity(ies).**  Spinouts and start-ups are organisations that will promote commercialisation opportunities over the life of the contract.  Enter your answer here... |

## How we assess your report and performance

MBIE reviews your report and uses the following criteria to assign your contract an assessment rating in the form of a Red, Amber, Green or Gold (RAGG) status that best reflects your reported progress. Contract holders are notified in December of their RAGG status.

If your contract is assigned Amber status, remedial action is required. In this event, MBIE will discuss with you what that may involve. After an agreed period, MBIE will follow-up on your progress.

If your contract is assigned Red status, remedial action is also required and your contract payments may be suspended. In this event, MBIE will discuss with you what that may involve. After an agreed period, MBIE will follow-up on your progress. Once all remedial actions have been actioned, any payments withheld will be released.

Incomplete remedial action(s) may result in a contract termination. In this event, unspent funds will need to be returned to us.

### Gold

Your contract is performing above expectation, that is:

* it is on track to deliver the Work Programme deliverables; and
* the broader results and benefits to end users are above expectations and/or at a level of quality well above expectation or well ahead of time.

### Green

Your contract is performing satisfactorily, that is:

* it is on track to deliver the Work Programme deliverables; and
* the broader results and benefits are in line with expectations; and
* it has delivered or will deliver on time and at the expected level of quality.

### Amber

There are issues with the contract, that is:

* more information is required to make an assessment; and/or
* a variation to the contract (in addition to any contract variation requests received prior to the Annual Reporting portal opening) is required with the objective of getting the project back on track; and/or
* contract conditions (if any) are not satisfied; and/or
* some action is required to get the contract back on track, for example, some issues may have been identified which means that the Work Programme deliverables and broader results and benefits:
* have not been delivered on time AND MBIE has not received an acceptable contract variation request that fully resolves the issues; and/or
* are highly unlikely to be delivered by the time the contract matures, or they will be at a level of quality below expectation.

### Red

There are serious issues with the contract that require action by the organisation and/or intervention by MBIE, that is:

* the Work Programme deliverables and broader results and benefits will be severely under-delivered in terms of quality and timeliness, or there is a risk that the contract may fail completely; and/or
* immediate action/intervention is required to preserve the value of MBIE’s investment.