

Endeavour Fund

Assessment Guidelines

2018



MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT
HĪKINA WHAKATUTUKI

newzealand.govt.nz

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

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

Foreword

Thank you for agreeing to assess proposals submitted for funding from the Endeavour Fund 2018 round.

The Endeavour Fund is managed by the Ministry of Business, Innovation and Employment (MBIE) as an investment portfolio with social, environmental, and economic objectives. Funding is made through two investment 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 MBIE's funding recommendations. We have selected you and other Assessors based on your knowledge and experience. You have not been selected as a 'representative' of a particular organisation or sector. The names of all Assessors and their affiliated organisations are published on MBIE's website.

We recommend that you read this document in conjunction with the 2018 Endeavour Fund Call for Proposals, and other relevant information available from our [website](#). If you have any questions, feel free to contact us.

Email Assessment queries: assessors@mbie.govt.nz
Portal queries: imssupport@mbie.govt.nz

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

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



Dr. Prue Williams



GENERAL MANAGER,
Science System Investment and Performance
Ministry of Business, Innovation & Employment



Dr. Max Kennedy



MANAGER, Contestable Investments,
Science System Investment and Performance
Ministry of Business, Innovation & Employment



The Assessment Process

As an Assessor, you are critical in helping MBIE identify the proposals that have the greatest potential to deliver on the New Zealand government's investment goals for the Endeavour Fund. Endeavour funding is made through two investment mechanisms – **Smart Ideas** and **Research Programmes**.

- > The **Smart Ideas** investment mechanism catalyses and rapidly tests promising, innovative research ideas with high potential for benefit to New Zealand, to enable refresh and diversity in the science portfolio. Applicants can request between \$0.4 million to \$1 million over the term of a two to three year contract. In 2018 we expect to invest up to \$15 million per year.
- > The **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 over \$0.5 million per year for a term of three to five years. In 2018 we expect to invest up to \$43 million per year.

You may be asked to assess proposals for both mechanisms or just one; this will depend largely on the nature of the proposals submitted and how they align to your skill set.

Where Assessment Occurs in the 2018 Round

For Smart Ideas ...	ASSESSMENT STAGES	For Research Programmes ...
<p>Stage One: Registration</p> <p>Interested parties register their interest in submitting a funding proposal. Registration is not assessed.</p>		<p>Stage One: Registration</p> <p>Interested parties register their interest in submitting a funding proposal. Registration is not assessed.</p>
<p>Stage Two: Concept</p> <p>Interested parties submit a Concept proposal.</p> <p>Proposals are assessed against the excellence assessment criteria only.</p> <p>The Science Board makes decisions on the Concept proposals that progress to Full proposals.</p> <p>Successful Applicants are invited to submit a Full proposal.</p>		<p>Stage Two: Full Proposal</p> <p>Proposals are assessed against the excellence assessment criteria.</p> <p>The Science Board makes decisions on the proposals that progress for impact assessment.</p> <p>Successful proposals are assessed against the impact assessment criteria.</p> <p>An Impact Panel discusses and agrees on the final impact assessments.</p> <p>The Science Board makes the funding decisions.</p>
<p>Stage Three: Full Proposal</p> <p>Invited Applicants submit a Full proposal.</p> <p>Proposals are assessed against the:</p> <ul style="list-style-type: none"> > excellence assessment criteria, and > impact assessment criteria. <hr/> <p>Assessment of excellence and impact occur concurrently by a different mix of Assessors.</p> <hr/> <p>The Science Board makes the funding decisions.</p>		

Note that the assessment process does not cover eligibility.

Assessor Roles

The following outlines the key roles and responsibilities involved in the assessment of Endeavour Fund proposals.

Assessor

Your role as an Assessor is to assess a selection of proposals submitted for funding from the Endeavour Fund. Your key responsibilities include:

- > Declaring any conflicts of interest and adhering to MBIE's confidentiality and privacy policies.
- > Reading and assessing assigned proposals, allocating assessment scores that reflect your assessments (*using a 7-point scoring system against the assessment criteria*) and then recording your scores and supporting comments in MBIE's Investment Management System (IMS) - a secure online portal.

A small number of Assessors will be invited to attend an Impact Panel meeting in Wellington to discuss and agree consensus impact assessment scores and comments for Research Programme proposals.

Lead Assessor

In addition to the responsibilities of an Assessor, a Lead Assessor is also responsible for:

- > Writing assessment summaries for proposals that summarise the range of Assessor comments and diversity of scores.
- > **If required**, at the Impact Panel meeting, introduce and lead the discussion on your assigned proposals.

These guidelines detail the information required to fulfil these key responsibilities.

If you are engaged to attend the Impact Panel meeting, MBIE will provide separate information on what this will involve.

Key Dates

	SMART IDEAS		RESEARCH PROGRAMMES
	CONCEPT	FULL PROPOSAL	FULL PROPOSAL
Proposals assigned	23 Jan 2018	11 June 2018	<i>for assessment of Excellence:</i> 14 Mar 2018 <i>for assessment of Impact:</i> 28 May 2018
Assessment recorded in the IMS portal	9 Feb 2018	27 June 2018	<i>for Excellence:</i> 29 Mar 2018 <i>for Impact:</i> 13 June 2018
Lead Assessor comments recorded in the IMS portal	23 Feb 2018	13 July 2018	<i>for Excellence:</i> 16 April 2018 <i>for Impact:</i> 20 June 2018
Impact Panel meeting	N/A	N/A	2 – 6 July 2018
Science Board decisions	Apr 2018	Aug 2018	<i>progress to Impact assessment:</i> May 2018 <i>Funding:</i> Aug 2018
Successful Applicants notified	May 2018	Sept 2018	Sept 2018
Contracts begin	N/A	1 Oct 2018	1 Oct 2018

All dates are New Zealand Standard Time

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Time Commitment

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

UP TO:	TO:
Half a day	Read through these guidelines and background documents.
1-2 hours per proposal <i>(time will depend on Proposal type i.e., Concept or Full)</i>	Read your assigned proposals, assign scores and enter those scores with comment in the IMS portal.
1 hour per proposal <i>(Lead Assessors only)</i>	Record a summary of the individual Assessor assessments for each of your assigned proposals.
4 days	Attend <i>(only if invited)</i> the Impact Panel meeting in Wellington New Zealand.

How and When Proposals are Assigned

Proposals are assigned to Assessors in part by aligning the proposal’s field of research with Assessor expertise, availability and absence of any potential conflict of interest. Together with the number of proposals submitted, this alignment determines the type and number of proposals that are assigned to an Assessor. Each proposal is assigned to multiple Assessors, one of which is designated the Lead Assessor.

MBIE will inform you by email of your assigned proposals. Your assignment email(s) will confirm what you are being asked to assess which may be a combination of one or more of the following:

INVESTMENT MECHANISM	PROPOSAL TYPE	Assess for	
		EXCELLENCE	IMPACT
Smart Ideas	Concepts	Yes	No
	Full Proposals	Yes	Yes
Research Programmes	Full Proposals	Yes	Yes

ASSIGNMENT DATES	SMART IDEAS		RESEARCH PROGRAMMES
	CONCEPT	FULL PROPOSAL	FULL PROPOSAL
Proposals assigned	23 Jan 2018	11 June 2018	for assessment of Excellence: 14 Mar 2018 for assessment of Impact: 28 May 2018

You use MBIE’s IMS portal to:

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

Refer to page 29 for further instruction on the IMS portal.

How and When Assessments are Recorded

Your assessment scores and comments are recorded in the IMS portal; this must occur on or before the following dates.

ASSESSMENT DUE DATES	SMART IDEAS		RESEARCH PROGRAMMES
	CONCEPT	FULL PROPOSAL	FULL PROPOSAL
Assessment recorded in the IMS portal	9 Feb 2018	27 June 2018	<i>for assessment of Excellence:</i> 29 Mar 2018 <i>for assessment of Impact:</i> 13 June 2018
Lead Assessor comments recorded in the IMS portal	23 Feb 2018	13 July 2018	<i>for Excellence:</i> 16 April 2018 <i>for Impact:</i> 20 June 2018

Lead Assessors are sent an email alert when they can begin to enter their summary comments.

Confidentiality and Privacy

To ensure confidentiality, as an Assessor you must:

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

All Assessors must agree to adhere to MBIE's confidentiality and privacy policies which apply to all personal information collected by MBIE in the IMS portal before they can view their assigned proposals.

Official Information Act 1982

Proposals and their assessments are confidential. Note however that MBIE is subject to the Official Information Act 1982 therefore information relating to an assessment may be released if requested.

Conflicts of Interest

MBIE follows a rigorous process to maintain the credibility of investment decisions and to assure Applicants that their proposals are fairly and reasonably appraised.

Before starting to assess, you must check your list of assigned proposals for any conflicts of interest and either accept or decline the assignments as appropriate (*see page 30 for details on how to do this*).

What is Considered a Conflict of Interest?

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

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

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Reporting Identified Conflicts

All conflicts of interest must be declared to MBIE.

If you identify a clear and direct conflict with a proposal that has been assigned to you, you must decline the assignment.

If you identify an indirect conflict, email MBIE at assessors@mbie.govt.nz with the details for further discussion before accepting or declining the assignment.

Recommendations and Funding Decisions

Informed by the assessments of Assessors and, if applicable the outcomes of the Impact Panel meeting, MBIE prepares a recommendation paper for the Science Board.

The Science Board makes their investment decision(s) in accordance with the New Zealand Gazette Notice, No. 83, 17 August 2017. In deciding which proposals to fund, the Science Board considers:

- > Eligibility
- > The assessment criteria and other considerations in the Gazette Notice which include:
 - the investment signals and mix of investment in the relevant annual Investment Plan, and
 - the Vision Mātauranga policy
- > Assessor assessments
- > If Research Programmes, the Impact Panel's assessment.

Performing Assessments

Use the following procedure to assess proposals. Remember, your assignment email(s) will confirm what you are being asked to assess which may be a combination of one or more of the following:

INVESTMENT MECHANISM	PROPOSAL TYPE	Assess for	
		EXCELLENCE	IMPACT
Smart Ideas	Concepts	Yes	No
	Full Proposals	Yes	Yes
Research Programmes	Full Proposals	Yes	Yes <i>only if assessed as sufficiently excellent</i>

The Assessment Steps

1 Read and understand the assessment criteria, the New Zealand government's investment goals, the Endeavour Investment Plan, and the Vision Mātauranga policy

Read and understand the assessment criteria detailed in these guidelines. This includes the scoring guide, summary information on the Government's investment goals, the Endeavour Fund Investment Plan and the Vision Mātauranga policy (*see over*). The scoring guide and the points to note for each assessment criteria provide a common interpretation to clarify and help ensure consistency in application and understanding.

2 Accept (or Decline) assigned proposals

Accept your assigned proposals or decline if you deem a conflict of interest exists. *See page 30 for details on how to do this.*

3 Read assigned proposals (*see page 31 for details*).

4 Select an assessment score and record associated commentary

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

As directed in your assignment, independently score each proposal using **either** the excellence or impact assessment criteria (*see pages 10 and 19 respectively*).

For each criterion, select a score ranging from 1 (*low quality*) to 7 (*high quality*) from the scoring grid that best matches your assessment **AND** how well the proposal would:

- > deliver on the New Zealand government's investment goals for the Endeavour Fund,
- > align to relevant parts of the Endeavour Fund Investment Plan, and
- > give effect, if relevant, to the Vision Mātauranga policy in achieving research of relevance and impact to Māori and New Zealand.

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

Record your assessment scores in the IMS portal (*see page 31*) and comment on why you selected those scores. Your comments should also identify if applicable the specific reasons for a deficiency, particularly if you are recording a score of 4 or less.

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.
- word limits for comments apply; these clearly display top left of each **Comment** field in the IMS portal.
- if assessing excellence, only comment on excellence, if assessing impact, only comment on impact.

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

If applicable to your assessment, you will also be asked to rate:

- the level of scientific or technical risk in the proposal; either Low, Medium or High.
- how closely your area(s) of expertise aligns with the proposal; either 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. If scoring has drifted you may want to review your scores and comments.

5 Lead Assessors view and summarise Assessor comments for assigned proposals

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

Do not include names or individual scores in your comments.

Be mindful that if requested to do so, assessment comments may be made available under the Official Information Act.

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

The Government’s Investment Goals for the Endeavour Fund

The [Endeavour Investment Plan 2017-2020](#) is a three-year plan that details the Government’s priorities for investing through the Fund via **Excellence** and **Impact** as twin pillars of the New Zealand science system.

The Investment Plan encourages Applicants to take risks, or embody stretch or significant innovation in their proposals, in order to increase the potential benefits from the research. The overall outcome should be fit for purpose research that meets the research goals.

Pages 18 - 19 of the Investment Plan contain the investment signals for the Endeavour Fund. This is intended to provide predictability and transparency on the direction of our investments, and on the availability of future funding opportunities.

Endeavour Fund Policy Objectives

The general policy objectives of the Endeavour Fund are to:

- a. support research, science or technology or related activities that have high potential to positively transform New Zealand’s future economic performance, the sustainability and integrity of our environment, help strengthen our society, and give effect to the Vision Mātauranga policy; and
- b. drive an increasing focus on:
 - i. excellent research; and
 - ii. the potential for impact in areas of future value, growth or critical need for New Zealand.

Specific Policy Objectives

- > The Smart Ideas investment mechanism is intended to catalyse and rapidly test promising, innovative research ideas with high potential for benefit to New Zealand, to enable refresh and diversity in the science portfolio.
- > Research Programmes investment mechanism is intended to support 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.

Vision Mātauranga

Through the [Vision Mātauranga policy](#), we encourage appropriate and distinctive research arising from the interface between Māori knowledge and science, to deliver effective and innovative products, services and outcomes for Māori and all New Zealand. This includes integrating the policy across government investments in research, and building the capability, capacity and networks of Māori and the research community to collaborate and carry out this work. The outcomes being sought through the policy appear in the Investment Signals section (*pages 18 – 19*) of the Endeavour Investment Plan.

The excellence and impact assessment includes Vision Mātauranga where relevant; it is not a separate or additional assessment. When forming your assessment consider if Vision Mātauranga is relevant.

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

- > When assessing **excellence**, has Vision Mātauranga been incorporated in the design of the research, and the capability of the team and its connections to key Māori stakeholders?
- > When assessing **impact**, the extent the proposal identifies potential benefits to Māori and New Zealand, and the extent to which the implementation pathway engages key Māori stakeholders and Māori knowledge in delivering these benefits?

Your assessment includes rating how well the proposal addresses the above (Very well, Moderately well, Not well, Not relevant).

If you believe that Vision Mātauranga is not relevant to a proposal, say this in your comments. No further comment need then be made.

Additional Information

In addition to the Endeavour Fund Investment Plan 2017 – 2020 and the Vision Mātauranga policy, we encourage you to consult these key reference documents:

See the [Endeavour page](#) on MBIE's website for a full list of reference documents.

- > The [Gazette Notice](#) sets the criteria the Minister for Science and Innovation requires the Science Board to use when making funding decisions for the Fund.
- > The [National Statement of Science Investment 2015-2025](#) details the Government's ten-year vision for New Zealand's science system.
- > The [Endeavour Fund Call for Proposals](#).

Excellence Assessment Criteria & Scoring Guide

To assess **excellence**, read and understand the excellence assessment criteria and use the scoring guide on the following pages to help form your assessment and determine a score.

The scoring guide and the points to note for each assessment criteria provide a common interpretation that aims to clarify and help ensure consistency in both application and understanding. When conducting your assessments, exercise your knowledge, judgement and expertise to reach clear and soundly based decisions that are fair, objective and evidence-based.

Excellence Assessment Criteria

EXCELLENCE CRITERIA		weightings	
		SMART IDEAS	RESEARCH PROGRAMMES
SCIENCE	<p><i>[applies to both Smart ideas and Research Programmes]</i></p> <p>Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> progress and disseminate new knowledge; possess high scientific risk, technical risk, novelty or innovative approaches; are well-positioned in the domestic and international research context; and have a well-managed research plan and credible approach to risk management. 	50%	25%
	<p><i>[Smart Ideas]</i></p> <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>	15%	
TEAM	<p><i>[Research Programmes]</i></p> <p>The proposed team should have the demonstrated mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.</p>		25%

Points to Note

Consider **excellence** in the context of:

- > **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).

Specific Points to Note for Science

Dissemination	<ul style="list-style-type: none"> > Making the research results available for potential end (<i>or next</i>) users so that impacts or benefits can be achieved. > May vary according to the situation and should not be confined to publication in peer reviewed scientific literature.
Risk	<ul style="list-style-type: none"> > Scientific and technical risk sourced in the scientific basis of a proposal. This may include the assumption of a scientific hypothesis beyond that which can be confidently asserted based on current knowledge and scientific principles; or the application of experimental or other scientific techniques in an unproven or speculative context.

	<ul style="list-style-type: none"> > Technical risk sourced in new technology which needs to be developed to enable the research to be done, and the availability and suitability of experimental or supporting facilities and equipment.
Novelty	<ul style="list-style-type: none"> > A method or idea of a new kind or nature which was previously unknown; an idea or method is either novel or not. > All or some elements of a proposal may be novel. > Novelty can range from having only minor impact to making ground breaking advances.
Innovation	<ul style="list-style-type: none"> > Bringing in new methods or ideas and there are degrees of innovation possible. > 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 (<i>often funded separately</i>) 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, and > provision for access to and use of the facilities and equipment for carrying out the research.
Risk management	<ul style="list-style-type: none"> > Risk managed through risk mitigation strategies and/or contingency plans, and residual risk is considered against the potential additional value. > Risk and additional value are considered together. However, risk and additional value can exist in many combinations, so the reference statements in the guide are only examples of where some combinations should sit in the scoring range. Assessors need to use their judgement in deciding where other combinations might most appropriately sit.

Specific Points to Note for Team

Skill 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 would give confidence in their ability to deliver the research.
Demonstrated	<p><i>for Research Programmes:</i> A track record of demonstrated ability to deliver on the promised research performance in proposals. Key researchers should have significant impact and influence on the delivery of the project. If:</p> <ul style="list-style-type: none"> > the whole team has a track record in previous research projects, consider their collective track record. > the proposed combination of researchers is new, consider the track records of key individuals and how new researchers will be supported / mentored, > there is no track record information available, provided or able to be reasonably inferred (<i>e.g., from the publications record</i>), regard that negatively, i.e., mark the team score down. <p><i>for Smart Ideas:</i> A track record is not asked for; assess only on the information provided in the proposal regarding skills and level of experience.</p>

Excellence Scoring Guide

- 1** For each criterion, select a score ranging from **1** (*low quality*) to **7** (*high quality*) from the scoring grid that best matches your assessment **AND** how well the proposal would deliver on the:
- > Government’s investment goals,
 - > Endeavour Fund’s General and Specific Policy Objectives, and
 - > if relevant, the Vision Mātauranga policy.

- 2** Remember:
- > Only assess the information **presented** in the proposal.
 - > Exercise your knowledge, judgement and expertise to reach clear and soundly based assessments that are fair, objective and evidence-based.

- 3** Record your scores in MBIE’s IMS portal and comment on why you selected that score. Your comments should also identify strengths along with the specific reasons for any deficiencies; particularly if you are recording a score of 4 or less.

For an A3 single page printout of this scoring guide, see the Endeavour’s [Assessor page](#) on our website.

ENDEAVOUR FUND ASSESSMENT CRITERIA: EXCELLENCE SCORING GRID

SCIENCE Weightings: Smart Ideas 50%; Research Programmes 25%	SCORE & KEY WORDS	TEAM	
Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities: <ul style="list-style-type: none"> a. progress and disseminate new knowledge; b. possess high scientific risk, technical risk, novelty or innovative approaches; c. are well-positioned in the domestic and international research context; and d. have a well-managed research plan and credible approach to risk management. 		<table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> Smart Ideas Weighting: 15% 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. </td> <td style="width: 50%; vertical-align: top;"> Research Programmes Weighting: 25% The proposed team should have the demonstrated mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk. </td> </tr> </table>	Smart Ideas Weighting: 15% 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.
Smart Ideas Weighting: 15% 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.	Research Programmes Weighting: 25% The proposed team should have the demonstrated mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.		
<p>Progress and disseminate new knowledge:</p> <ul style="list-style-type: none"> > Takes no account of related research or existing information. > No new knowledge created and no consideration has been given to disseminating the research results. <p>Possess high scientific risk, technical risk, novelty or innovative approaches:</p> <ul style="list-style-type: none"> > Scientific and/or technical risk is negligible or low, <u>or</u> > The proposal is not innovative. <p>Are well positioned in the domestic and international research context:</p> <ul style="list-style-type: none"> > Ignores major aligned or related research / information. > Links to the relevant research landscape are missing. <p>Have a well-managed research plan and credible approach to risk management:</p> <ul style="list-style-type: none"> > Inadequate and does not contain any of the expected elements. > Missing appropriate scientific and technical risk management. > The research is not fit for purpose. <p>if Vision Mātauranga is relevant:</p> <ul style="list-style-type: none"> > The research does not unlock any Māori innovation. > Vision Mātauranga elements are negligible or not present in the research plan design. 	<p>1 (Low quality)</p> <p>Inadequate Negligible No relevant content or connections None/not</p>	<p>Skills mix:</p> <p>In all respects, inadequate skills, knowledge and resources to:</p> <ul style="list-style-type: none"> > deliver the research, science or technology, and > foresee or manage risk. <p>Demonstrated: for Research Programmes only:</p> <p>The team, or if the team is new key individuals, have a track record of failing to deliver research results.</p> <p>if Vision Mātauranga is relevant:</p> <ul style="list-style-type: none"> > Inadequate capability to engage with Māori stakeholders or their interests. > Negligible track record with Māori relevant to the science. 	

ENDEAVOUR FUND ASSESSMENT CRITERIA: EXCELLENCE SCORING GRID

SCIENCE

Weightings: Smart Ideas 50%; Research Programmes 25%

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

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

Progress and disseminate new knowledge:

- > New knowledge created only amplifies or further explains what is already known.
- > The dissemination method(s) are not well matched to the type of knowledge involved.

Possess high scientific risk, technical risk, novelty or innovative approaches:

- > Scientific and/or technical risk is low and so is the additional value that could be achieved, or
- > The proposal has little innovation.

Are well positioned in the domestic and international research context:

- > Little recognition of aligned or related major research.
- > Inadequate links to the relevant research landscape.

Have a well-managed research plan and credible approach to risk management:

- > Contains some expected elements but the information is insufficient for the plan to be plausible.
- > Poor scientific or technical risk management.
- > The research is fit for purpose in very few respects.

if Vision Mātauranga is relevant:

- > It is doubtful that the Vision Mātauranga elements in the research design are sufficient
- > Little relevant innovation value to Māori.

SCORE
& KEY WORDS

2

Doubtful
Insufficient
Lacking
Little
Low
Poor credibility

TEAM

Smart Ideas

Weighting: 15%

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.

Research Programmes

Weighting: 25%

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

Skills mix:

Lacking most of the skills, knowledge and resources needed to:

- > deliver the research, science or technology, and
- > foresee or manage risk.

Demonstrated: *for Research Programmes only:*

Track record information is insufficient or lacks positive examples to give confidence that the research will be satisfactorily delivered.

if Vision Mātauranga is relevant:

- > Lacks the level of capability or capacity required to navigate and engage with Māori stakeholders and their interests for the science.
- > Little or poor track record with Māori relevant to the science.

ENDEAVOUR FUND ASSESSMENT CRITERIA: EXCELLENCE SCORING GRID

<p>SCIENCE <i>Weightings: Smart Ideas 50%; Research Programmes 25%</i></p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">SCORE & KEY WORDS</p>	<p>TEAM</p>
<p>Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ul style="list-style-type: none"> a. progress and disseminate new knowledge; b. possess high scientific risk, technical risk, novelty or innovative approaches; c. are well-positioned in the domestic and international research context; and d. have a well-managed research plan and credible approach to risk management. 		<p><u>Smart Ideas</u> <i>Weighting: 15%</i> <u>Research Programmes</u> <i>Weighting: 25%</i></p> <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>The proposed team should have the demonstrated mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.</p>
<p>Progress and disseminate new knowledge:</p> <ul style="list-style-type: none"> > The new knowledge created is incremental in character, i.e., it is no more than a logical extension of what is already known. > The dissemination method(s) are workable but unlikely to be very effective. <p>Possess high scientific risk, technical risk, novelty or innovative approaches:</p> <ul style="list-style-type: none"> > Scientific and/or technical risk is low but has additional benefit that could be achieved, <u>or</u> > Contains some elements of innovation but no completely new approaches. <p>Are well positioned in the domestic and international research context:</p> <ul style="list-style-type: none"> > Some recognition of related research or existing information, but this has only partly influenced the research design. > Significant gaps in links to the relevant research landscape. <p>Have a well-managed research plan and credible approach to risk management:</p> <ul style="list-style-type: none"> > Contains most of the expected elements but the details or some of the elements are limited. > Significant gaps in scientific and technical risk management. > The research is fit for purpose in some respects but the connection to purpose is not demonstrated well. <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > Limited research that will unlock Māori innovation through the science. > There are gaps in key Vision Mātauranga elements in the research plan design which suggests low effectiveness to deliver new knowledge or intellectual property relevant to Māori. 	<p>3</p> <p>Limited effectiveness Low to moderate Most Significant gaps Some aspects inadequate</p>	<p>Skills mix:</p> <p>Some significant gaps in the skills, knowledge and resources needed to:</p> <ul style="list-style-type: none"> > deliver the research, science or technology, and > foresee or manage risk. <p>Demonstrated: <i>for Research Programmes only:</i></p> <p>The team / individuals in the team have a patchy track record, i.e., mix of good and not so good.</p> <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > Some significant gaps in the capability or capacity required to navigate and engage with Māori stakeholders and their interests for the science. > A patchy track record with Māori relevant to the science.

ENDEAVOUR FUND ASSESSMENT CRITERIA: EXCELLENCE SCORING GRID

SCIENCE

Weightings: Smart Ideas 50%; Research Programmes 25%

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

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

Progress and disseminate new knowledge:

- > The knowledge created is new but largely an extension of existing knowledge rather than breaking significant new ground.
- > The dissemination method(s) are appropriate and will be moderately effective.

Possess high scientific risk, technical risk, novelty or innovative approaches:

- > Moderate scientific and/or technical risk largely counterbalanced by the additional benefit that could be achieved, or
- > Significant innovation in the proposal based more on new applications of existing approaches than new approaches.

Are well positioned in the domestic and international research context:

- > Reasonable recognition of related research and existing knowledge, leveraged with some gaps in research design.
- > Adequate links to the relevant research landscape.

Have a well-managed research plan and credible approach to risk management:

- > Contains all of the expected elements but in some cases the level of detail is not of a satisfactory standard.
- > Adequate scientific or technical risk management.
- > The research is largely fit for purpose but some connections need further explanation.

if Vision Mātauranga is relevant:

- > Reasonable potential for the research to unlock Māori innovation through the science.
- > Largely appropriate Vision Mātauranga elements appear in the research plan design with some gaps or deficiencies including distinct risks identification and mitigation.
- > Existing relevant Māori knowledge has been considered.
- > New knowledge and intellectual property of value to Māori interests is delivered.

SCORE
& KEY WORDS

4

Largely appropriate
Largely satisfactory
but with gaps or
deficiencies
Moderate
Partly
Reasonable
Significant in some
aspects

TEAM

Smart Ideas

Weighting: 15%

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.

Research Programmes

Weighting: 25%

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

Skills mix:

Some gaps or deficiencies in the skills, knowledge and resources needed to:

- > deliver the research, science or technology, and
- > foresee or manage risk.

Demonstrated: *for Research Programmes only:*

The team and/or individuals in the team have a generally good record of successfully delivering research.

if Vision Mātauranga is relevant:

- > Moderate capability and capacity for reasonable engagement with core Māori stakeholders for the science; there are some gaps / deficiencies.
- > A largely satisfactory track record with Māori relevant to the science.

ENDEAVOUR FUND ASSESSMENT CRITERIA: EXCELLENCE SCORING GRID

<p>SCIENCE <i>Weightings: Smart Ideas 50%; Research Programmes 25%</i></p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">SCORE & KEY WORDS</p>	<p>TEAM</p>
<p>Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ul style="list-style-type: none"> a. progress and disseminate new knowledge; b. possess high scientific risk, technical risk, novelty or innovative approaches; c. are well-positioned in the domestic and international research context; and d. have a well-managed research plan and credible approach to risk management. 		<p><u>Smart Ideas</u> <i>Weighting: 15%</i> <u>Research Programmes</u> <i>Weighting: 25%</i></p> <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>The proposed team should have the demonstrated mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.</p>
<p>Progress and disseminate new knowledge:</p> <ul style="list-style-type: none"> > The new knowledge created breaks new ground, and > The dissemination method(s) are appropriate and likely to be effective. <p>Possess high scientific risk, technical risk, novelty or innovative approaches:</p> <ul style="list-style-type: none"> > Moderate scientific and/or technical risk counterbalanced by additional benefit, <u>or</u> > Is significantly innovative and contains new approaches, i.e., they have not been proposed before. <p>Are well positioned in the domestic and international research context:</p> <ul style="list-style-type: none"> > Comprehensive recognition of related research and existing knowledge competently leveraged in research design. > Well demonstrated links to the relevant research landscape. <p>Have a well-managed research plan and credible approach to risk management:</p> <ul style="list-style-type: none"> > Contains all of the expected elements, meets expected standards of good practice and should be delivered as stated. > Appropriate and credible scientific or technical risk management. > The research is fully fit for purpose. <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > Good potential for the research approach to unlock Māori innovation through the science. > Credible Vision Mātauranga elements support research plan design. > Existing relevant Māori knowledge has been incorporated. > Distinct risks and sensitivities are well mapped and mitigated. > New knowledge and intellectual property of strategic value to Māori interests is delivered. > Some likelihood of attracting international attention. 	<p>5</p> <p>Appropriate Comprehensive Good/effective Meets good practice standards Moderate to high More than significant New/novel No gaps</p>	<p>Skills mix:</p> <p>Well matched, with no significant gaps in the skills, knowledge and resources needed to:</p> <ul style="list-style-type: none"> > satisfactorily deliver the research, science or technology, and > achieve moderate to high level of risk management and mitigation. <p>Demonstrated: <i>for Research Programmes only:</i></p> <p>The team and/or individuals in the team have a consistent record of successfully delivering research.</p> <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > Moderate to high level of capability and capacity to navigate and engage effectively with Māori stakeholders, networks, interest groups in various settings relevant to the science. > A strong track record of engaging effectively with Māori relevant to the science.

ENDEAVOUR FUND ASSESSMENT CRITERIA: EXCELLENCE SCORING GRID

<p>SCIENCE <i>Weightings: Smart Ideas 50%; Research Programmes 25%</i></p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">SCORE & KEY WORDS</p>	<p>TEAM</p>
<p>Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ul style="list-style-type: none"> a. progress and disseminate new knowledge; b. possess high scientific risk, technical risk, novelty or innovative approaches; c. are well-positioned in the domestic and international research context; and d. have a well-managed research plan and credible approach to risk management. 		<p><u>Smart Ideas</u> <i>Weighting: 15%</i> <u>Research Programmes</u> <i>Weighting: 25%</i></p> <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>The proposed team should have the demonstrated mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.</p>
<p>Progress and disseminate new knowledge:</p> <ul style="list-style-type: none"> > The new knowledge created is potentially significant beyond the immediate field of research, and > The dissemination method(s) are very effective and likely to be very effective. <p>Possess high scientific risk, technical risk, novelty or innovative approaches:</p> <ul style="list-style-type: none"> > High Scientific and/or technical risk counterbalanced by the additional benefit that could be achieved, <u>or</u> > Highly innovative with markedly new ideas and/or approaches likely to attract attention from other researchers and potential end users. <p>Are well positioned in the domestic and international research context:</p> <ul style="list-style-type: none"> > Comprehensive and insightful recognition of related research and existing information and this is extremely well leveraged in research design. > Comprehensive links to the relevant research landscape. <p>Have a well-managed research plan and credible approach to risk management:</p> <ul style="list-style-type: none"> > Contains all expected elements at a level of competence and detail which exceeds expected standards of good practice, and gives confidence that the plan will be delivered as stated. > Scientific or technical risk management is likely to be effective. > The research is fully fit for purpose. <p><i>if Vision Mātauranga is relevant.</i></p> <ul style="list-style-type: none"> > Very good potential for the research to unlock Māori innovation through the science. > Very credible and comprehensive Vision Mātauranga elements support and enhance the research plan. > Existing relevant Māori knowledge has been fully incorporated and helped shape the research. > Distinct risks and sensitivities are very well mapped and mitigated. > New knowledge and intellectual property of significant strategic value to Māori interests is delivered. > Very likely to attract international attention. 	<p>6</p> <p>Comprehensive Exceeds best practice Insightful Markedly Significant Very credible Very good/effective Very high/ highly Very large</p>	<p>Skills mix:</p> <ul style="list-style-type: none"> > Very well matched mix and level of team skills, knowledge and human resource to achieve credible delivery of the type of research involved. > A very good team with the ability to leverage significant affiliations. <p>Demonstrated: <i>for Research Programmes only:</i></p> <p>The team, and/or individuals in the team, have a significant record of successfully delivering quality research, related activities and managing risks.</p> <p><i>if Vision Mātauranga is relevant.</i></p> <ul style="list-style-type: none"> > High level of capability and capacity to navigate Māori stakeholders, networks, interest groups and their expectations relevant to the science. > Very strong track record of high value engagement with Māori relevant to the science.

ENDEAVOUR FUND ASSESSMENT CRITERIA: EXCELLENCE SCORING GRID

<p>SCIENCE <i>Weightings: Smart Ideas 50%; Research Programmes 25%</i></p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">SCORE & KEY WORDS</p>	<p>TEAM</p>
<p>Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ul style="list-style-type: none"> a. progress and disseminate new knowledge; b. possess high scientific risk, technical risk, novelty or innovative approaches; c. are well-positioned in the domestic and international research context; and d. have a well-managed research plan and credible approach to risk management. 		<p><u>Smart Ideas</u> <i>Weighting: 15%</i> <u>Research Programmes</u> <i>Weighting: 25%</i></p> <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>The proposed team should have the demonstrated mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.</p>
<p>Progress and disseminate new knowledge:</p> <ul style="list-style-type: none"> > The new knowledge created is potentially of international significance and likely to attract interest accordingly, and > The dissemination method(s) are wholly appropriate and likely to be extremely effective. <p>Possess high scientific risk, technical risk, novelty or innovative approaches:</p> <ul style="list-style-type: none"> > High scientific and/or technical risk substantially exceeded by the additional benefit that could be achieved, <u>or</u> > Outstandingly innovative with new ground breaking approaches likely to attract international attention. <p>Are well positioned in the domestic and international research context:</p> <ul style="list-style-type: none"> > Outstanding recognition of related research and existing information. > Research design takes full advantage of the opportunities for leverage. > Outstanding links to the relevant research landscape. <p>Have a well-managed research plan and credible approach to risk management:</p> <ul style="list-style-type: none"> > Contains all the expected elements, the approach and detail is exemplary and gives high confidence that the research will be delivered excellently and as planned. > Scientific or technical risk management is very likely to be effective. > The research is fully fit for purpose. <p><i>if Vision Mātauranga is relevant.</i></p> <ul style="list-style-type: none"> > The best potential for the research to unlock Māori innovation relevant to the science. > Wholly credible Vision Mātauranga elements are fundamental to the research plan design to an exemplary standard. > Existing relevant Māori knowledge central to the research. > Very well mapped and mitigated risks and sensitivities. > New knowledge and intellectual property of very significant strategic value to Māori interests is delivered on a large scale. > Extremely likely to attract international attention. 	<p>7</p> <p><i>(High quality)</i></p> <p>Exceeds best practice standards Excellent Exemplary Internationally significant Outstanding Very high Very/extremely large Wholly appropriate Wholly credible</p>	<p>Skills mix:</p> <ul style="list-style-type: none"> > Exceptionally well matched mix and level of team skills to achieving the excellent delivery of the research, science or technology. > An outstanding team with the ability to leverage very significant affiliations. <p>Demonstrated: <i>for Research Programmes only:</i> The team:</p> <ul style="list-style-type: none"> > has an international reputation for delivering excellent research, related activities, and managing risks. > comparatively stands with the best performing teams elsewhere. <p><i>if Vision Mātauranga is relevant.</i></p> <ul style="list-style-type: none"> > Outstanding capability and capacity to expertly navigate significant and diverse Māori stakeholders, networks, interest groups and their expectations of the science. > An extremely strong track record of high value engagement with Māori relevant to the science.

Impact Assessment Criteria & Scoring Guide

To assess **impact**, read and understand the impact assessment criteria and use the scoring guide on the following pages to help form your assessment and determine a score.

The scoring guide and the points to note for each assessment criteria provide a common interpretation that aims to clarify and help ensure consistency in both application and understanding. When conducting your assessments, exercise your knowledge, judgement and expertise to reach clear and soundly based decisions that are fair, objective and evidence-based.

Impact Assessment Criteria

IMPACT CRITERIA		weighting	
		SMART IDEAS	RESEARCH PROGRAMMES
BENEFIT TO NEW ZEALAND	<p><i>[applies to both Smart ideas and Research Programmes]</i></p> <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. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and the relevance and additional value they deliver to New Zealand. 	25 %	25 %
	<p><i>[Smart Ideas]</i></p> <p>The credibility of 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>	10 %	
IMPLEMENTATION PATHWAY(S)	<p><i>[Research Programmes]</i></p> <p>The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.</p>		25 %

Points to Note

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:

- > 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
- > Creation of 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.

20

If a sector is **new or emerging** (*defined as without current end users or only affects a narrow range of current companies or end users*) then a vision of either of the following is needed:

- > how the research will contribute to building a sector that will transform New Zealand in the future, or
- > how the technology may affect multiple sectors in the future.

Specific Points to Note for Benefit to New Zealand

Vision Mātauranga Relevance	When assessing the extent a proposal recognises related research or existing information, ask yourself how well is related Māori research or knowledge recognised as part of the whole body of related research or existing information.
Credibility	<p>Whether or not there are potential end-users, next users, or beneficiaries, and the quality of the estimates of benefit.</p> <p><i>for Smart Ideas:</i> It is not expected that there will be a high level of supporting information on impact that can be used to judge credibility. Evidence that the estimates of benefits have some basis and are presented with justification is sufficient. There should be sufficient information to indicate whether there are plausible research end user or beneficiary types.</p>
Scale	<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, apply the principle of additionality:</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 (<i>or value for money</i>).
Extent	<p>The coverage of the benefits, i.e., irrespective of scale, whether benefits are concentrated in a narrow area (<i>e.g., individual organisations</i>) or are of widespread potential impact. Given a particular scale of impact, score more highly proposals of widespread coverage than those of narrow impact.</p> <p>Consider the extent to which proposals will enable:</p> <ul style="list-style-type: none"> > potential impact for New Zealand > more investment in research with higher (<i>impact</i>) > risk and longer term horizons to impact (<i>consider impact risk in the research separately from scientific/technical risk which is included in assessing excellence</i>) > better leveraging of wider existing investment and knowledge in New Zealand and overseas > greater effect to be given to Vision Mātauranga. <p>Areas of strategic importance are set out on page 19 of the Investment Plan and described as “future directions of investment by objective area”. Alignment with those areas can be taken to also mean relevance to New Zealand’s current and future needs. Detailed directions are set out under separate headings for each objective:</p> <ul style="list-style-type: none"> > Economic > Environment > Society; and > Vision Mātauranga across all of above. <p>Proposed impacts should align with one or more of the detailed objective areas, but the number of areas to which they are aligned should not be a consideration (<i>some proposals will be naturally more sharply focused than others</i>). However, the strength of the alignment is an appropriate consideration.</p>

Specific Points to Note for Implementation Pathway(s)

<p>Credible implementation pathway</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 pathways can be traced, and the role of each participant/end user is clear.</p> <p>The implementation pathway is expected to be appropriate to 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 pathway 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 pathways have been given serious thought and that the implementation is not limited to a 'one size fits all' approach. The impact delivery plan needs to contain the information referred to above. The information should be authoritative (<i>derived from credible and reliable sources</i>), set out in a logical pattern and supported by good quality analysis and explanation.</p>
<p>Relevant <i>for Research Programmes only</i></p>	<p>The end users need to credibly link to the implementation of the projected impacts. If there is no relevant link, the strength of the relationship is irrelevant and the score should be marked down accordingly.</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 (<i>co-funding is not a requirement for proposals</i>).</p> <p>Measure against a range of parameters which include the:</p> <ul style="list-style-type: none"> > length of time over which the relationship has been developed > quality of the relationship (<i>e.g., deep seated or superficial</i>) > level of commitment of the stakeholders/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 (<i>e.g., via an advisory group</i>), - commitment either to specific actions or to providing various types of assistance.

Impact Scoring Guide

- 1** For each criterion, select a score ranging from **1** (*low quality*) to **7** (*high quality*) from the scoring grid that best matches your assessment **AND** how well the proposal would deliver on the:
- > Government’s investment goals,
 - > Endeavour Fund’s General and Specific Policy Objectives, and
 - > if relevant, the Vision Mātauranga policy.

- 2** Remember:
- > Only assess the information **presented** in the proposal.
 - > Exercise your knowledge, judgement and expertise to reach clear and soundly based assessments that are fair, objective and evidence-based.

- 3** Record your scores in MBIE’s IMS portal and comment on why you selected that score. Your comments should also identify strengths along with the specific reasons for any deficiencies; particularly if you are recording a score of 4 or less.

For an A3 single page printout of this scoring guide, see the Endeavour’s [Assessor page](#) on our website.

ENDEAVOUR FUND ASSESSMENT CRITERIA: IMPACT SCORING GRID

BENEFIT TO NEW ZEALAND Weighting: 25%	SCORE & KEY WORDS	IMPLEMENTATION PATHWAY(S)	
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. Assessment must have particular regard to: <ul style="list-style-type: none"> a. the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and b. the relevance and additional value they deliver to New Zealand. 		SMART IDEAS: Weighting 10% The credibility of 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.	RESEARCH PROGRAMMES: Weighting 25% The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.
<p>Credibility, scale and extent of benefits:</p> <ul style="list-style-type: none"> > Potential direct benefits are negligible and/or not credible and unlikely to be widely distributed or of no specific impact to more than one area of strategic importance. > They may have negligible impacts upon a large sector or upon a sector with negligible potential for growth. <p>Relevance and additional value:</p> <ul style="list-style-type: none"> > Not relevant and of negligible potential significance to one or more areas of strategic importance to New Zealand. > Negligible indirect and additional value in areas aligned with one or more future directions of investment. > The estimates of benefits, including the links to stakeholders, next users, end users and beneficiaries able to achieve uptake, are not credible or not explained. <p>if emerging or new sector (see page 20):</p> <ul style="list-style-type: none"> > A new untapped opportunity of strategic importance for New Zealand has not been identified. > The future vision for this sector is not credible, given the inherent uncertainties in new and emerging opportunities. > How the research will empower and catalyse this growing sector is very poorly described. <p>if Vision Mātauranga is relevant:</p> <ul style="list-style-type: none"> > The benefits of the research have no relevance to Māori. > There is no clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued > No or negligible new knowledge or intellectual property for Māori. 	<p>1 <i>(Low quality)</i></p> <p>Implausible Negligible Not credible Not present Not relevant Unlikely Unreliable Very poor</p>	<p>Implementation pathways:</p> <ul style="list-style-type: none"> > No credible implementation pathways. > No supporting impact plan. <p>Strength of relationships: for Research Programmes only: Proposed impact relationships are not relevant and/or not credible.</p> <p>if emerging or new sector (see page 20):</p> <ul style="list-style-type: none"> > Implausible in proportion to the development state of the science or sector. > Types of potential end or next users rather than existing are negligibly described. > A potential pathway to capturing benefit for New Zealand is not present. <p>if Vision Mātauranga is relevant:</p> <ul style="list-style-type: none"> > No credible engagement with Māori. > Vision Mātauranga is not present. 	

ENDEAVOUR FUND ASSESSMENT CRITERIA: IMPACT SCORING GRID

BENEFIT TO NEW ZEALAND

Weighting: 25%

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. Assessment must have particular regard to:

- a. the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and
- b. the relevance and additional value they deliver to New Zealand.

SCORE & KEY WORDS

IMPLEMENTATION PATHWAY(S)

SMART IDEAS:

Weighting 10%

The credibility of 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.

RESEARCH PROGRAMMES:

Weighting 25%

The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.

Credibility, scale and extent of benefits:

- > Potential direct benefits are very low, and may be narrowly distributed or of very limited specific impact to more than one area of strategic importance.
- > They may have very limited impacts upon a large sector or upon a sector with unconvincing potential for growth.

Relevance and additional value:

- > Very limited relevance and little significance to one or more areas of strategic importance to New Zealand.
- > Poor indirect and additional value in areas aligned with one or more future directions of investment.
- > The estimates of benefits, including the links to stakeholders, next users, end users and beneficiaries able to achieve uptake, are insufficiently credible and poorly explained.

if emerging or new sector (see page 20):

- > A new untapped opportunity of strategic importance for New Zealand has been insufficiently identified.
- > The future vision for this sector is unconvincing, given the inherent uncertainties in new and emerging opportunities.
- > How the research will empower and catalyse this growing sector is poorly described.

if Vision Mātauranga is relevant:

- > The benefits of the research have little relevance to Māori.
- > There is very limited clarity as to whether if any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued
- > Very limited new knowledge or intellectual property for Māori.

2

Insufficient
Little
Minor
Narrow
Not significant
Poor
Unconvincing
Unsatisfactory
Very limited
Very low

Implementation pathways:

- > Are of poor credibility.
- > The supporting information is very limited and largely unsatisfactory.

Strength of relationships: for Research Programmes only:

Proposed impact relationships:

- > are not particularly relevant, and
- > give very little confidence that commitments based on those relationships will be realised.

if emerging or new sector (see page 20):

- > Insufficiently detailed in proportion to the development state of the science or sector.
- > Types of potential end or next users rather than existing are poorly described.
- > A potential pathway to capturing benefit for New Zealand is unconvincing.

if Vision Mātauranga is relevant:

- > Very limited, insufficient arrangements for engagement with Māori stakeholders.

ENDEAVOUR FUND ASSESSMENT CRITERIA: IMPACT SCORING GRID

BENEFIT TO NEW ZEALAND Weighting: 25%	SCORE & KEY WORDS	IMPLEMENTATION PATHWAY(S)	
<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. Assessment must have particular regard to:</p> <p>a. the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and</p> <p>b. the relevance and additional value they deliver to New Zealand.</p>		<p>SMART IDEAS: Weighting 10%</p> <p>The credibility of 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>RESEARCH PROGRAMMES: Weighting 25%</p> <p>The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.</p>
<p>Credibility, scale and extent of benefit:</p> <ul style="list-style-type: none"> > Potential direct benefits are low, and may not be widely distributed or of limited specific impact to more than one area of strategic importance. > They may have some impacts upon a large sector or upon a sector with limited potential for growth. <p>Relevance and additional value:</p> <ul style="list-style-type: none"> > Some relevance and limited significance to one or more areas of strategic importance to New Zealand. > Low indirect and additional value in areas aligned with one or more future directions of investment. > The estimates of benefits, including the links to stakeholders, next users, end users and beneficiaries able to achieve uptake, are limited in their credibility and not well explained. <p><i>if emerging or new sector (see page 20):</i></p> <ul style="list-style-type: none"> > A limited new untapped opportunity of strategic importance for New Zealand has been identified. > The future vision for this sector is limited, given the inherent uncertainties in new and emerging opportunities. > How the research will empower and catalyse this growing sector is not well described. <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > The benefits of the research have low to moderate relevance to Māori. > There is limited clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued. > Limited new knowledge or intellectual property for Māori. 	<p>3</p> <p>Limited Low Partially Some</p>	<p>Implementation pathways:</p> <ul style="list-style-type: none"> > Are of limited credibility. > The supporting information is limited and not very convincing. <p>Strength of relationships: <i>for Research Programmes only.</i></p> <p>Proposed impact relationships:</p> <ul style="list-style-type: none"> > are not convincingly relevant, and > give little confidence that commitments based on those relationships will be realised. <p><i>if emerging or new sector (see page 20):</i></p> <ul style="list-style-type: none"> > Limited in proportion to the development state of the science or sector. > Types of potential end or next users rather than existing are partially described. > A potential pathway to capturing benefit for New Zealand is limited. <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > Some significant gaps in arrangements for engagement with and responding to Māori stakeholders. > The Vision Mātauranga related aspects of the pathway appear somewhat inadequate. 	

ENDEAVOUR FUND ASSESSMENT CRITERIA: IMPACT SCORING GRID

BENEFIT TO NEW ZEALAND

Weighting: 25%

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. Assessment must have particular regard to:

- a. the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and
- b. the relevance and additional value they deliver to New Zealand.

SCORE & KEY WORDS

IMPLEMENTATION PATHWAY(S)

SMART IDEAS:

Weighting 10%

The credibility of 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.

RESEARCH PROGRAMMES:

Weighting 25%

The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.

Credibility, scale and extent of benefits:

- > Some direct benefits are of moderate value, and may be reasonably distributed or of some specific impact to more than one area of strategic importance.
- > They may have some impacts upon a large sector or upon a sector with modest potential for growth.

Relevance and additional value:

- > Moderately relevant and some potential significance to one or more areas of strategic importance to New Zealand.
- > Modest indirect and additional value in areas aligned with one or more future directions of investment.
- > The estimates of benefits, including the links to stakeholders, next users, end users and beneficiaries able to achieve uptake, are moderately credible and well explained.

if emerging or new sector (see page 20):

- > A moderate new untapped opportunity of strategic importance for New Zealand has been identified.
- > The future vision for this sector is reasonable, given the inherent uncertainties in new and emerging opportunities.
- > How the research will empower and catalyse this growing sector is moderately well described.

if Vision Mātauranga is relevant:

- > The benefits of the research are moderately relevant to Māori, achieving some, reasonable, or modest economic and/or social and/or environmental benefits.
- > Māori contributions are valued to some degree and have some involvement in the delivery of benefits.
- > Some new knowledge or intellectual property for Māori.

4

Moderate
Modest
Reasonable
Some

Implementation pathways:

- > Partly credible.
- > Has gaps in the supporting information that leave key questions unanswered.

Strength of relationships: for Research Programmes only:

Proposed impact relationships:

- > are largely relevant, and
- > give reasonable confidence that commitments based on those relationships will be realised, at least in part.

if emerging or new sector (see page 20):

- > Moderately described in proportion to the development state of the science or sector.
- > Types of potential end or next users rather than existing are moderately described.
- > A potential pathway to capturing benefit for New Zealand is reasonable.

if Vision Mātauranga is relevant:

- > Satisfactory arrangements for engagement with obvious Māori stakeholders.
- > Some distinct risk and sensitivity management is in place.
- > Satisfactory Māori participation in research is evident.
- > Obviously relevant tikanga (customs and traditions) Māori has been satisfactorily gauged and described.
- > The IP agreements in place response to any indigenous knowledge management issues/requirements if raised.

ENDEAVOUR FUND ASSESSMENT CRITERIA: IMPACT SCORING GRID

BENEFIT TO NEW ZEALAND Weighting: 25%	SCORE & KEY WORDS	IMPLEMENTATION PATHWAY(S)	
<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. Assessment must have particular regard to:</p> <p>a. the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and</p> <p>b. the relevance and additional value they deliver to New Zealand.</p>		<p>SMART IDEAS: Weighting 10%</p> <p>The credibility of 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>RESEARCH PROGRAMMES: Weighting 25%</p> <p>The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.</p>
<p>Credibility, scale and extent of benefits:</p> <ul style="list-style-type: none"> > Potential direct benefits are large, numerous, of high value, and may be widely distributed or of specific impact to more than one areas of strategic importance. > They may have significant impacts upon a large sector or upon a sector with marked potential for growth <p>Relevance and additional value:</p> <ul style="list-style-type: none"> > Relevant and substantial potential significance to one or more areas of strategic importance to New Zealand. > Substantial indirect and additional value in areas aligned with one or more future directions of investment. > The estimates of benefits, including the links to stakeholders, next users, end users and beneficiaries able to achieve uptake, are credible and well explained. <p><i>if emerging or new sector (see page 20):</i></p> <ul style="list-style-type: none"> > A sizable new untapped opportunity of strategic importance for New Zealand has been identified. > The future vision for this sector is credible, given the inherent uncertainties in new and emerging opportunities. > How the research will empower and catalyse this growing sector is well described. <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > The benefits of the research are relevant to Māori, achieving large, significant, or specific economic and/or social and/or environmental benefits. > Māori contributions are valued and are central to the delivery of benefits. > Significant new knowledge or intellectual property for Māori. 	<p>5</p> <p>Appropriate Credible Good confidence Large Relevant Significant Sizable Substantial Well explained</p>	<p>Implementation pathways:</p> <ul style="list-style-type: none"> > Credible, fit for purpose. > Indicative supporting information is satisfactory in scope and competence. <p>Strength of relationships: <i>for Research Programmes only.</i></p> <p>Proposed impact relationships:</p> <ul style="list-style-type: none"> > are wholly relevant, and > give good confidence that commitments based on those relationships will be realised. <p><i>if emerging or new sector (see page 20):</i></p> <ul style="list-style-type: none"> > Appropriately detailed and in proportion to the development state of the science and sector. > Types of potential end or next users rather than existing are well described. > A potential pathway to capturing benefit for New Zealand is credible. <p><i>if Vision Mātauranga is relevant:</i></p> <ul style="list-style-type: none"> > Informed by comprehensive engagement with key Māori stakeholders who are participating in, and contributing to, the research and co-development of the proposal > Distinct risks and sensitivities are well mapped and managed. > The role of tikanga (<i>customs and traditions</i>) Māori has been identified. > Credible IP agreements are in place and respond to identified indigenous knowledge management requirements. 	

ENDEAVOUR FUND ASSESSMENT CRITERIA: IMPACT SCORING GRID

BENEFIT TO NEW ZEALAND

Weighting: 25%

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. Assessment must have particular regard to:

- a. the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and
- b. the relevance and additional value they deliver to New Zealand.

SCORE & KEY WORDS

IMPLEMENTATION PATHWAY(S)

SMART IDEAS:

Weighting 10%

The credibility of 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.

RESEARCH PROGRAMMES:

Weighting 25%

The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.

Credibility, scale and extent of benefits:

- > Potential direct benefits are of very large, substantial, of high value, and may be very widely distributed or of specific impact to many areas of strategic importance.
- > They may have very substantial impacts able to be delivered for a large sector or a sector with marked extensive potential for growth.

Relevance and additional value:

- > Very relevant and very substantial potential significance to one or more areas of strategic importance to New Zealand.
- > Very substantial indirect and additional value in areas aligned with one or more future directions of investment.
- > The estimates of benefits, including the links to stakeholders, next users, end users and beneficiaries able to achieve uptake, are very credible and very well explained.

if emerging or new sector (see page 20):

- > A very large new untapped opportunity of strategic importance for New Zealand has been identified.
- > The future vision for this sector is very credible, given the inherent uncertainties in new and emerging opportunities.
- > How the research will empower and catalyse this growing sector is very well described.

if Vision Mātauranga is relevant.

- > The benefits of the research are very relevant to Māori, achieving very large, very significant, or specific and highly valued economic and/or social and/or environmental benefits.
- > Māori contributions are strongly valued and are very central to the delivery of benefits.
- > Very substantial new knowledge or intellectual property for Māori.

6

Comprehensive
Credible
Entirely
Extensive
High confidence
Relevant
Very large
Very substantial
Well

Implementation pathways:

- > A high standard, very credible and fit for purpose.
- > The supporting information is credible in scope and competence.

Strength of relationships: for Research Programmes only.

Proposed impact relationships:

- > are entirely relevant,
- > are of a high standard, and
- > give full confidence that commitments based on those relationships will be realised.

if emerging or new sector (see page 20):

- > Well detailed in proportion to the state of development of the science or sector.
- > Types of potential end or next users rather than existing are extensively described.
- > A potential pathway to capturing benefit for New Zealand engenders high confidence.

if Vision Mātauranga is relevant.

- > Informed by very credible engagement with diverse Māori stakeholders which results in meaningful Māori participation in, and contributions to, the research and co-development of the proposal.
- > Distinct risks and sensitivities are effectively mapped and managed.
- > Appropriate tikanga (*customs and traditions*) has been identified and responsibilities allocated.
- > IP agreements align strongly to indigenous best practice knowledge management.

ENDEAVOUR FUND ASSESSMENT CRITERIA: IMPACT SCORING GRID

BENEFIT TO NEW ZEALAND

Weighting: 25%

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. Assessment must have particular regard to:

- a. the credibility of the need for scale and extent of potential benefits from the proposed research, science or technology or related activities; and
- b. the relevance and additional value they deliver to New Zealand.

SCORE & KEY WORDS

IMPLEMENTATION PATHWAY(S)

SMART IDEAS:

Weighting 10%

The credibility of 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.

RESEARCH PROGRAMMES:

Weighting 25%

The credibility of indicative implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end-user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders.

Credibility, scale and extent of benefits:

- > Potential direct benefits are extremely relevant, very high in number, of extremely high value, and comprehensively distributed or of specific impact to all areas of strategic importance.
- > They may have extremely significant impacts upon a large sector or upon a sector with impressive potential for growth.

Relevance and additional value:

- > Complete relevance and extremely substantial potential significance to one or more areas of strategic importance to New Zealand.
- > Extremely significant indirect and additional value in areas aligned with one or more future directions of investment.
- > The estimates of benefits, including the links to stakeholders, next users, end users and beneficiaries able to achieve uptake, are highly credible and extremely well explained.

if emerging or new sector (see page 20):

- > A new and outstanding untapped opportunity of strategic importance for New Zealand has been identified.
- > The future vision for this sector is extremely credible, given the inherent uncertainties in new and emerging opportunities.
- > How the research will empower and catalyse this growing sector is extremely well described.

if Vision Mātauranga is relevant:

- > The benefits of the research are extremely relevant to Māori, achieving outstanding, impressive, or specific and extremely valuable economic and/or social and/or environmental benefits.
- > Māori contributions are fully valued and are completely included in the delivery of benefits
- > Very large new knowledge or intellectual property for Māori.

7

(High quality)

Completely
Comprehensive
Exemplary
Extremely
relevant
Extremely
significant
Highly credible
Highly relevant
Impressive
Outstanding
Total confidence
Very large
Very well

Implementation pathways:

- > Of an extremely high standard, completely credible, and fit for purpose.
- > The supporting information is exemplary in scope and competence.

Strength of relationships: for Research Programmes only:

Proposed impact relationships:

- > are extremely relevant, and
- > are of the highest standard, giving total confidence that commitments based on those relationships will be realised at an exceptional level.

if emerging or new sector (see page 20):

- > Comprehensively detailed and in proportion to the science or sector’s state of development.
- > Potential end or next user types are completely described.
- > A highly credible pathway to capturing benefit for New Zealand.

if Vision Mātauranga is relevant:

- > Informed by exemplary engagement with diverse Māori stakeholders which optimises significant and meaningful Māori participation in, and contributions to, the research and co-development of the proposal.
- > Distinct risks and sensitivities are well mapped and managed.
- > Appropriate tikanga (*customs and traditions*) has been identified and responsibilities allocated.
- > Exemplary IP agreements modelling international indigenous best practice knowledge management are in place.

Viewing Assigned Proposals and Recording Assessments

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

For portal support, contact MBIE's Investment Operations Team Monday to Friday between 8.30am and 4.30pm:

- > email imssupport@mbie.govt.nz
- > call 0800 693 778

Accessing the IMS Portal

To access the portal you require:

- > Chrome or Firefox
- > Your MBIE IMS portal Username and Password.

■ To log in to the IMS portal:

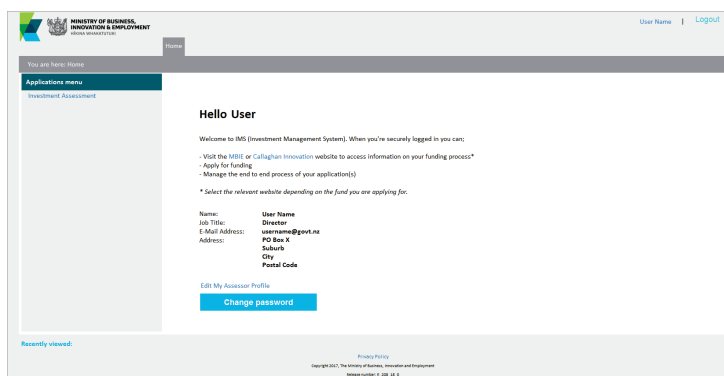
For first time Assessors:

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

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 portal's **Home** screen displays.

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



The Home page of the MBIE IMS portal

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 portal's **Home** screen displays.

■ To log out of the portal:

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

Accepting/Declining Assigned Proposals

KEY PORTAL DATES	SMART IDEAS		RESEARCH PROGRAMMES
	CONCEPT	FULL PROPOSAL	FULL PROPOSAL
Proposals assigned*	23 Jan 2018	11 June 2018	for assessment of Excellence: 14 Mar 2018 for assessment of Impact: 28 May 2018

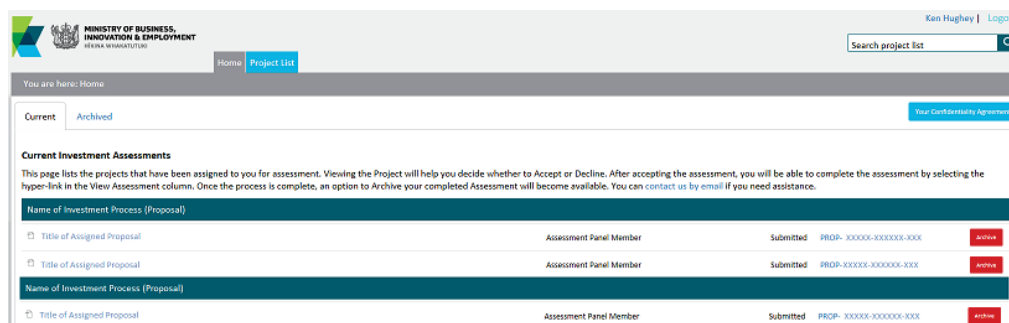
* Additional proposals may be assigned after these dates.

■ **To accept (or decline) an assignment:**

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

This agreement will only display to first time Assessors when they first access their list of assignments. You can revisit this agreement at any stage by clicking the **Your Confidentiality Agreement** button located top right of the **Investment Assessment** link > **Current** tab.

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



3. Scroll down the list to see your assignments.

The Endeavour Fund proposals assigned to you are listed under the **View Project** column, grouped by investment process. If you have performed assessments in the past, your new assignments will be at the top of the list under one or more of the following headings:

 - 2018 Endeavour Fund - Smart Ideas (Concept)
 - 2018 Endeavour Fund - Smart Ideas (Proposal)
 - 2018 Endeavour Fund - Research Programmes (Proposal).
4. For the first proposal listed, click the link under **View Project**. A summary of the proposal opens in a new browser tab.
5. After reading the proposal summary, if:
 - You deem a **direct conflict of interest** exists:
 1. Select the browser tab displaying the IMS portal.
 2. Click the **Decline** button adjacent to the proposal.
 3. In the resulting dialog, enter the reason and click the **Save** button.
The declined proposal is automatically removed from your assigned list.
 4. Close the proposal's summary.
 - You deem an **indirect conflict of interest** exists, close the proposal's summary and email MBIE 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 proposal 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 the portal.

The proposal 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.
- destroy all saved/printed proposals (*or return to MBIE*) after the assessment process is completed.

Recording Assessments

Your assessments are due on or before the following dates.

ASSESSMENT DUE DATES	SMART IDEAS		RESEARCH PROGRAMMES
	CONCEPT	FULL PROPOSAL	FULL PROPOSAL
Assessment recorded in the IMS portal	9 Feb 2018	27 June 2018	<i>for assessment of Excellence:</i> 29 Mar 2018 <i>for assessment of Impact:</i> 13 June 2018
Lead Assessor comments recorded in the IMS portal	23 Feb 2018	13 July 2018	<i>for Excellence:</i> 16 April 2018 <i>for Impact:</i> 20 June 2018

■ **To record your assessments:**

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

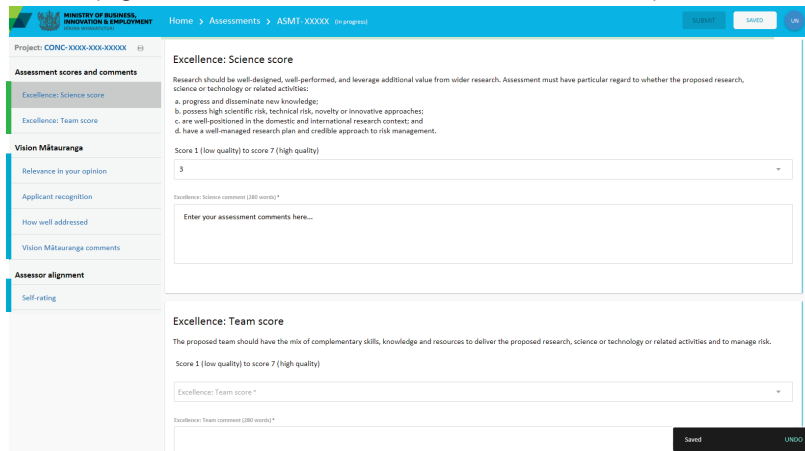
The screenshot shows the 'Scoring' page for a proposal. The breadcrumb trail is 'Home > Assessments > ASMT-XXXXX (in progress)'. The page title is 'Excellence: Science score'. The instructions state: 'Research should be well-designed, well-performed, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities: a. progress and disseminate new knowledge; b. possess high scientific risk, technical risk, novelty or innovative approaches; c. are well-positioned in the domestic and international research context; and d. have a well-managed research plan and credible approach to risk management.' There is a dropdown menu for 'Score 1 (low quality) to score 7 (high quality)' and a text box for 'Excellence: Science comment (280 words) *'. Below this is the 'Excellence: Team score' section with similar instructions and a dropdown menu for 'Score 1 (low quality) to score 7 (high quality)' and a text box for 'Excellence: Team score *'. A red arrow points to the printer icon in the top left navigation panel.

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

You must:

- ensure the safe keeping of all proposals and related documents, e.g., workbooks, notes, etc.
- destroy all saved/printed proposals 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.
- word limits for comments apply; these clearly display top left of each **Comment** field.

Respond only to what you have been asked to assess.

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

If applicable to your assessment, you will also be asked to rate:

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

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

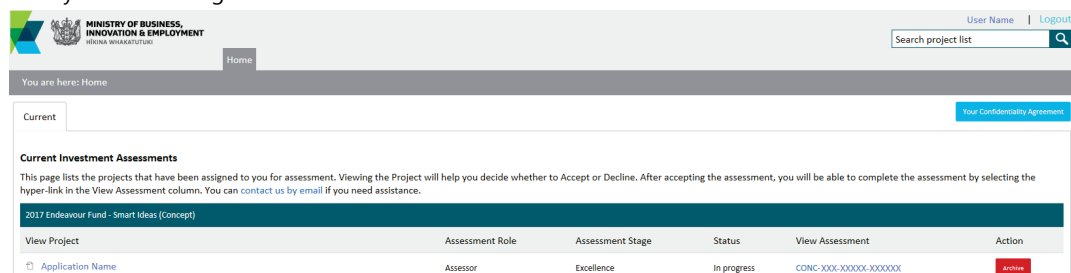
The **Submit** button is not active until all fields are complete.

Once submitted, the proposal is automatically assigned the status **Submitted**.

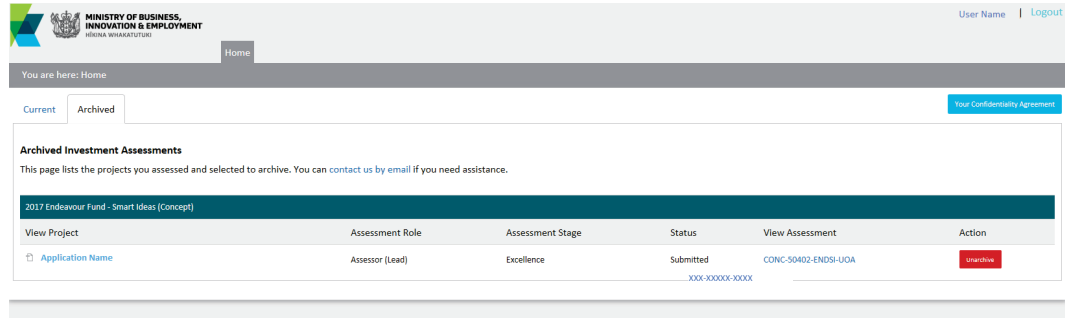
6. Close the browser tab displaying the **Scoring** page and return to the tab displaying your list of assignments.

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

7. 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 unarchive the proposal at any stage by clicking the **Unarchive** button.



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

Checking the Status of your Assessments

You can check the completeness of your assessment of a proposal in the left hand Navigation panel.

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

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

Updating Your IMS Portal Details

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

- **To view and/or update your details:**
 1. Click the **Edit my account details** button on the **Home** tab.
 2. Update your details as required and click **Save**.
- **To change your password:**
 1. Click the **Change password** button on the **Home** tab.
 2. Enter your new password and click **Save**.

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

Recording Summary Comments *(Lead Assessor Only)*

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

Lead Assessor comments are due on or before the following dates.

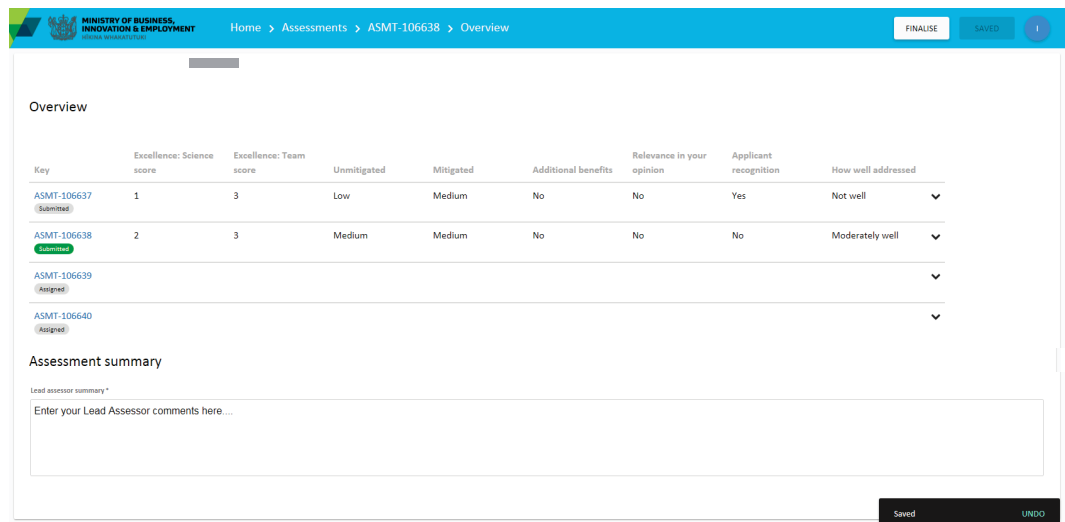
KEY PORTAL DUE DATES	SMART IDEAS		RESEARCH PROGRAMMES
	CONCEPT	FULL PROPOSAL	
Lead Assessor comments recorded in the IMS portal	23 Feb 2018	13 July 2018	for assessment of Excellence: 16 April 2018 for assessment of Impact: 20 June 2018

■ To record your Summary comment:

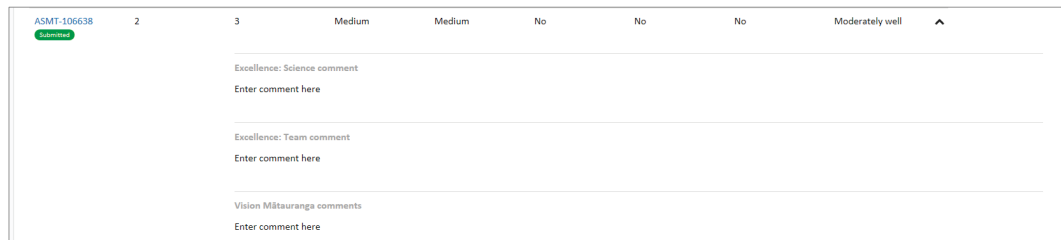
1. Access the **Home** tab > **Investment Assessment** page > **Current** tab.
2. Click a proposal’s **View Assessment** link and then click the **View All** button.

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

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



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



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

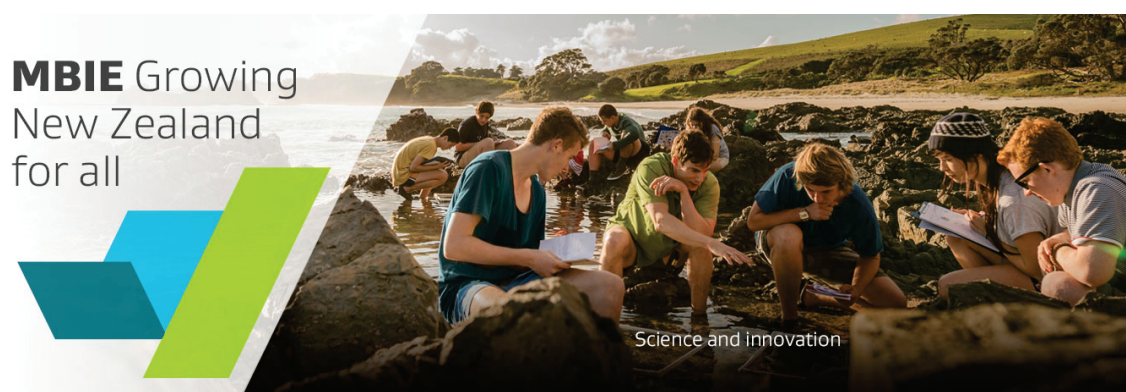
3. Enter your assessment comments in the **Assessment Summary** field.
4. When complete, click **Finalise**.
5. A summary dialog displays with your assessment comments. If satisfactory to you, click the **Finalise** button. If not, click the **Back** button to return and modify.

New Zealand's science and innovation systems are critical to boosting the number of knowledge-intensive, internationally-connected firms.

The Ministry of Business, Innovation & Employment (MBIE) works to lift business expenditure on research and development, improve the benefits to the wider economy from business development assistance, and harness the potential of the digital economy.

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

For more information on how we invest, see our [website](#).





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

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