# Endeavour Research Programmes Reporting template

Use this template for annual reporting and final reports.

This template covers:

* How to enter and submit your report
* The required report content
* How we assess your report.

**Your annual report details your work programme’s progress between 1 July 2022 and 30 June 2023.**

If your contract ends on or before 30 September 2023 you must anticipate and include the remaining months of the contract and enter your expected results in your annual report which be treated as your final report. You will not have to submit a final report at the end of the contract.

### Report completion and submission requirements

* Use this template to complete your report in MS Word and respond to all sections in the report as fully as you can.
* When ready, copy your completed report content into our Investment Management System (IMS) and submit it to us.
* **IMS will be open for you to enter your annual report content and submit it on Monday 3 July 2023.**
* **The closing date for annual reports to be submitted is 12 noon, Tuesday 15 August 2023.**

Once you have entered your report, submit it to your Host Superuser for a quality assurance check. When this is complete, they will finalise and submit your report to us for assessment. Your Host Superuser must be authorised by your organisation to declare on your behalf that:

* The submission is a true and correct record of the status of the Work Programme for the reporting period; and
* The submission accurately reflects the state of the whole investment and includes all relevant information.

### Contact details

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

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

## Report Template *for the period 1 July 2022 to 30 June 2023*

### Section 1: Progress Reporting

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| 1.1 **Annual update**  Grouped under the following headings, provide clear and succinct details of your achievements during the reporting period:   * Outcome Benefits to New Zealand - describe the benefits that have arisen because of your research being implemented. * Implementation Pathway - describe and cite evidence of uptake by end users. Attributed feedback from end users may be incorporated. Evidence is anything that can be used to verify uptake has occurred. Examples include documents or manuals, a company name, agreements to transfer technology or sales. * Research, Science and Technology (RS&T) Benefits to New Zealand - describe any significant advances in knowledge, quality of the research, capability, or collaborative relationships. * Other information - this section may include any other important information that does not fit under the previous headings. For example: ability to deliver research, science, and technology results (i.e., the likelihood the research outputs will be achieved), serendipitous discoveries, spill-over benefits, and issues or potential issues, that may impact on the project.   Enter your answer here...  *Limit for annual reports 1500 words*  *Limit for final reports 4500 words* |
| 1.2 **Publicly available information for use in** **relevant media releases and Ministerial reporting**  Provide a short summary of your project, i.e., what you expect to achieve. Include:   * Up to five key achievements that occurred during this reporting period * A link to your website for further information.   A key achievement may be a successful scientific result (discovery/breakthrough) or more of an outcome e.g., the commercialisation of results, incorporation of results into policy, successful partnering with an end user, or the development of a new market.  **Do not include any confidential information**  MBIE may publish information entered in this textbox on its website. From there, the information may be viewed and used by other research organisations, funding agencies or the public to obtain further information about the New Zealand Government's investments in scientific research.  Enter your answer here...  *Limit 1000 words* |
| 1.3 **Confidential Key achievements**  Tell us of any sensitive key achievements that occurred during this reporting period that you wish to remain confidential. It is acceptable (and highly useful) to link key achievements with comments made previously in the Annual update.  A key achievement may be a successful scientific result (discovery/breakthrough) or more of an outcome for example, the commercialisation of results, incorporation of results into policy, successful partnering with an end user, or the development of a new market.  Enter your answers here...  *Limit 200 words per key achievement* |
| 1.4 **Project deliverable status**  Choose the status of your Work Programme deliverables during the reporting period.  **Status options**  If a deliverable is past its due date, choose either:   * Achieved * Not Achieved   **If a deliverable is past its due date and steps remain outstanding, you must select 'Not Achieved'.**  If a deliverable is not past its due date, choose one of the following:   * Achieved - means the deliverable has been achieved ahead of time. * On Track - means that the project is proceeding as planned, with no issues. The delivery of an intermediate outcome/impact statement is not likely to be affected. * On Track with Issues - means that the project has encountered an issue(s) in this area which may have an adverse impact on the delivery of an intermediate outcome/impact statement. A contract variation will likely resolve the issue(s).   If you select:   * **On Track with Issues**, or **Not Achieved**, provide a reason and any remedial action that you plan to take.   Enter your answers here...  *Limit 75 words per entry* |
| **Project Deliverables Status (Continued)**  **End user relationship**  Select the status that best describes end user relationships overall.  Please select from the list provided in IMS.  You may add a brief optional comment about end user relationships.  Enter your answer here…  **Key Personnel**  Select the status that best describes availability of key personnel to your project.  Please select from the list provided in IMS.  You may add a brief optional comment about key personnel.  Enter your answer here…  **Research progress**  Select the status that best describes overall research progress:  Please select from the list provided in IMS.  You may add a brief optional comment about research progress:  Enter your answer here…  **Has any Change Event occurred in the Reporting Year?**  Yes/No  If YES when was MBIE advised?  Enter your answer here… |
| 1.5 **Work Programme Conditions**  If you have any contractual conditions, tell us how you continue to meet these conditions or provide (upload) supporting documentation that confirms the conditions are being met.  To check your contract conditions, in IMS select the **Performance management and reporting requirements menu > Conditions** section.  Enter your answers here... |
| 1.6 **Knowledge transfer**  Provide the number of events or deliverables for the knowledge transfer types listed below with (optional) comments.  **Knowledge transfer type**  Select the type of knowledge transfer you want to report from the list below:   * Workshops and hui - events that are primarily for the transfer of knowledge to end users (i.e., not for the sharing of information between researchers). * Commissioned reports - reports that were commissioned under contract or other formal arrangement with an end user – usually for a fee. * Substantive information sharing and advice - when you provide substantive and separate pieces of advice, or your data, to other parties on a pro bono basis.   Enter your answers here...  **Number of Events**  For each type of knowledge transfer, state the total number of events or deliverables.  Enter your answers here...  **Knowledge transfer comments (optional)**  Provide any information on key outcomes if you wish to explain in more detail.  Enter your answers here...  *Limit 400 words per entry* |
| 1.7 **Non-peer-reviewed published articles**  Provide the total number of articles and reports about the contract that have been published during this reporting period.  Articles can be either electronic or on paper but must have been subject to some form of external quality control, e.g., a webmaster or editor. Examples that may be included are:   * Articles in trade journals, newspapers, or magazines. * Reports published on your organisation’s website.   Enter your answers here...  **Non-peer reviewed published articles comments (optional)**  Provide any information on outcomes if you wish to explain in more detail.  Enter your answers here...  *Limit 400 words* |
| 1.8 **New products, processes, and services**  Provide the number of any new product, process, or service that has either been introduced to market, or implemented by industry, government, other research organisations/users, or the community during the reporting period.  **Number of new products**  A product is a substantive article produced by manufacture or other means. For example, new plant cultivars, new or improved instrumentation, new materials or objects that otherwise embed information for example, decision support software, plans, blueprints.  Enter your answer here...  **Number of new processes**  A process is an operational system for preparing or supplying products. For example, frozen storage processes for food products, tests for the presence of diseases or compounds, substance extraction processes, or software that has been developed to manage processes. These should represent new or significantly enhanced methods or decision support processes that have been implemented by the end user.  Enter your answer here...  **Number of new services**  A service is an activity necessary for the management of organisations, systems, products, or processes. The provision of advice, (policy, technical or management) should only be included if the ability or opportunity to provide the advice is novel and based on the knowledge gained as a result of this contract. The advice should have resulted in some substantive outcome for example, a problem resolved, or decision-making criteria implemented.  Enter your answer here...  **New products, processes, and services (optional)**  Provide any information on key outcomes if you wish to explain in more detail.  Enter your answer here...  *Limit 400 words* |
| 1.9 **Science quality**  **For the reporting period, provide the number of:**   * **Peer-reviewed journal articles accepted for publication** * **Articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication** * **Papers or abstracts listed in publicly available conference proceedings** * **Recognised science achievements for research awarded** * **Oral feature presentations delivered by formal invitation at a recognised science forum** * **Published theses by postgraduate students employed on the project.**   Specify the number of times the events listed below occurred during the reporting period.  Peer-reviewed journal articles in the year they are accepted for publication  This refers to any article accepted for publication, in the reporting period, in a science journal that requires a rigorous quality assurance by peers prior to publication.  To ensure each article is counted once please report peer-reviewed journal articles in the year they are accepted for publication. Do not record them again when the article is published.  Enter your answer here...  **Number of books or chapters**  This refers to any article, book chapter or book accepted for publication in the reporting period that has been subject to a rigorous quality assurance process prior to publication.  Enter your answer here...  **Number of published conference proceedings**  This refers to any paper or abstract listed in publicly available conference proceedings (i.e., that can be purchased in book or disc format, or accessed online by anyone), but excluding any keynote presentations reported below, or conference proceedings published in a peer-reviewed journal. The conference must have taken place in the reporting period.  Enter your answer here...  **Awards for science achievement (not open internationally)**  This can be any recognised science achievement for research awarded in the reporting period. Please use this box if the award was only open to New Zealand candidates. Do not include degrees here.  Enter your answer here...  **Awards for science achievement (open internationally)**  This can be any recognised science achievement for research awarded in the reporting period. Please use this box for an award that was open internationally.  Enter your answer here...  **Keynote presentations (not open internationally)**  Oral feature presentations delivered by formal invitation at a recognised science forum that occurred in the reporting period, and which was open only to New Zealand candidates and participants.  Enter your answer here...  **Keynote presentations (open internationally)**  Oral feature presentations delivered by formal invitation at a recognised science forum that occurred in the reporting period, and which was open to international candidates and participants.  Enter your answer here...  **Number of masters or doctoral theses**  Publication of a thesis by a postgraduate student who has been employed on the project during the reporting period.  Enter your answer here...  **Science quality comments (optional)**  Provide any information on key outcomes if you wish to explain in more details.  Enter your answer here...  *Limit 400 words* |
| 1.10 **Provisional patent and plant variety rights (PVR) applications**  **Provide the number of any intellectual property (IP) items for which provisional protection is being sought. For example, the number of:**   * **Patent or Plant Variety Right (PVR) applications** * **Inventions or plant types for which you have lodged a patent or PVR application in one or more countries** * **Patent Cooperation Treaty (PCT) applications** * **Applications for full patents in one or more countries, administratively coordinated by the PCT, but granted in each country at the discretion of that country’s patent regulatory body.**   Enter your answer here...  **Provisional patent and PVR applications comments (optional)**  Provide any comments if you wish to explain in more detail.  Enter your answer here...  *Limit 400 words* |
| 1.11 **Patent and PVR grants**  **Provide the number of any patents granted in one or more countries as a result of completing the PCT process, or which have not gone through the PCT process but have been granted as a result of a direct application to the Intellectual Property Office of New Zealand or the equivalent body in another country. For example, the number of:**   * inventions for which you have been granted a patent or PVR in one or more countries during the reporting period. * Discrete items are sought (for example, at the patent family level). * Do not recount multiple IP items that are identical except for the name of the countries where protection was granted.   Enter your answer here...  **Name the countries in which you have been granted Patents or PVRs.**  Enter the countries you have been granted a patent(s) or PVR(s). You can also provide any comments if you wish to explain in more details.  Enter your answer here...  *Limit 400 words* |

### Section 2: Revenue and contracting

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

### Section 3: Formal collaborations

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

### Section 4: Capability building

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

### Section 5: End user relationships

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| 5.1 **End user details**  Provide details about organisations you have worked with during the reporting period in relation to this project. Include a brief description of how you are working with each organisation. If the end user is new to the project, please provide contact details including full name, contact number, and email.  **Organisation**  Select the organisation name from the Lookup button. If you cannot find the organisation please add it.  **Briefly describe how you are working with this organisation**  For example: worked with Wellington Regional Council to identify prone areas in the Hutt River catchment.  Enter your answer here…  **Provide the contact details for the above organisation**  Contact Person…  Contact Phone…  Contact Email…  *Limit 500 words per entry* |

### Section 6: Spinouts and start-ups

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

## How we assess your report and performance

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

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

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

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

### Gold

Your contract is performing above expectation, that is:

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

### Green

Your contract is performing satisfactorily, that is:

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

### Amber

There are issues with the contract, that is:

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

### Red

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

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