

Commercialisation Partner Network

Assessment Guidelines

2019 Investment Round



MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT
HĪKINA WHAKATUTUKI

newzealand.govt.nz

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Published December 2018

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Improving the commercialisation outcomes of research organisations



Foreword

Thank you for agreeing to assess proposals submitted for funding from the Commercialisation Partner Network Fund's 2019 investment round.

The Commercialisation Partner Network Fund, managed by the Ministry of Business, Innovation and Employment (MBIE), aims to enable an integrated approach to the commercialisation of publicly-funded research. These guidelines detail what is involved in the assessment of Commercialisation Partner Network proposals and the role that you will play in that 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.

The experience and expertise that you bring to the investment process is greatly appreciated. Since 2011, the Commercialisation Partner Network has been one of the key tools for improving the impact of our investment in research. Thank you for supporting MBIE's science investment processes.



Dr. Prue Williams



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

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Introduction

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 Commercialisation Partner Network Fund (the Fund).

These guidelines detail the assessment process and the key roles and responsibilities.

We recommend that you read this document in conjunction with the [Commercialisation Partner Network Fund 2019 investment round’s Call for Proposals](#) and other relevant information available from MBIE’s [Commercialisation Partner Network Fund web page](#).

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

Email	Assessment queries: CPN@mbie.govt.nz Portal queries: imssupport@mbie.govt.nz
Phone	0800 693 778 (Monday to Friday, 8:30am to 4:30pm)

Assessment Roles and Responsibilities

The following outlines the key roles and responsibilities involved in the assessment of Commercialisation Partner Network proposals.

Assessor

Your role as an Assessor is to assess a selection of proposals submitted for funding from the Fund's 2019 investment round and attend the Panel meeting. Your key responsibilities include:

- > Participating in an Assessor briefing.
- > 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.
- > Attending an Assessment Panel meeting, where the preliminary scores and comments are reviewed, proposals are scored and ranked, and advice on the assessment results is recorded by MBIE. Note that the Assessment Panel does not have authority to make funding decisions.

Assessment Panel Chair

The Chair must:

- > Prioritise the discussion of the Panel meeting taking into account the preliminary ranked assessment scores and any advice from Assessors.
- > Identify and take appropriate action over conflicts of interest.
- > Allow time for informed discussion and equitable decision-making for proposals, and mediating views if required.
- > Ensure that the Assessment Panel follows the scoring system and provides sound advice.
- > Ensure that the Assessment Panel develops appropriate commentary on proposals to inform funding recommendations and to enable appropriate feedback to Applicants.
- > Provide a Panel report to MBIE.

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 (CPN@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.

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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 18 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.

If you are from a university or crown research institute or other large organisation, you may assist in the assessment of proposals from that institution providing you have no direct or limited indirect interest in the proposal. If in doubt, declare and discuss with MBIE.

Reporting Identified Conflicts

All conflicts of interest must be declared to MBIE.

If you identify a direct conflict with a proposal that has been assigned to you, you must decline the assignment. If you identify an indirect conflict, email MBIE at CPN@mbie.govt.nz with the details for further discussion before accepting or declining the assignment.

Handling Conflicts of Interest During the Assessment Panel Meeting

If there is a **direct conflict** of interest with a Proposal about to be discussed during the Panel meeting, declare the conflict to the Chair. You will be required to leave the room during the ensuing assessment discussion.

The actions required for a declared **indirect conflict** of interest are at the discretion of the Assessment Panel chair. Actions could be to:

- > leave the room
- > stay but remain silent unless asked to respond to a direct question
- > contribute to the assessment of the proposal.

Should the Chair declare a conflict of interest with a proposal, a Deputy Chair will be appointed for the ensuing assessment discussion.

All conflict of interest declarations and resulting Assessor actions during the Panel meeting will be recorded.

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The Assessment Process

The key dates and an overview of the assessment process follows.

Key Dates

Assessor briefing	19 February 2019
Assessment recorded in the IMS portal	12 noon, 6 March 2019
Assessment Panel meeting	19 March 2019
MBIE's funding decisions announced	May 2019
Contracts begin	1 July 2019

All dates are New Zealand Standard Time

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, and participate in an Assessor Briefing via teleconference or in person
1-2 hours per proposal (est. 3 days)	Read your assigned proposals, assign scores and enter those scores with comment in the IMS portal.
2 days	Attend the Assessment Panel meeting in Wellington New Zealand.

Assessor Briefing

Prior to performing assessments, you are required to attend a one hour briefing session via teleconference. The purpose of this session is to familiarise you with the:

- > Tools and resources that are available to them including the online scoring system
- > Content of the call for proposals including the structure of the proposal form and the assessment criteria
- > Key changes to the process for the current round.

Information about this briefing will be sent to attendees separately.

How and When Proposals are Assigned

Each proposal that meets the eligibility criteria is assigned to all the Assessors.

From **19 February 2019**, MBIE will confirm your role and inform you of your assigned proposals by email.

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 17 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 **12 noon, 6 March 2019**.

Assessment Panel Meeting

The Assessment Panel meets in Wellington on **19 March 2019** to discuss the preliminary ranked assessment scores and supporting comments.

MBIE records the discussion, the consensus scores and the Panel's recommendations.

Recommendations and Funding Decisions

The Assessment Panel Chair will provide MBIE with a recommendation report as to which proposals should be funded. MBIE will then review the report and recommend how funding should be allocated to successful proposals. When making its recommendation, MBIE will take into account:

- > the overall mix of proposals to ensure that there is a mix of delivery approaches
- > geographic locations
- > science and technology topics and projects that target a wide variety of groups
- > any other information that it deems relevant.

The final decision on the allocation of funding will be made by the Deputy Chief Executive, Science System Investment and Performance, Labour, Science and Enterprise, MBIE.

Results are publicly announced in **May 2019**. MBIE provides general feedback based on the Assessment Panel's comments about the overall quality of all proposals.

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Performing Assessments

Use the following procedure to assess Commercialisation Partner Network Fund proposals submitted for funding from the 2019 investment round.

The Assessment Steps

1 Read and understand the assessment criteria and the objectives and outcomes of the Fund, and the Vision Mātauranga policy.

Read and understand the assessment criteria detailed in these guidelines. This includes the scoring guide and the objectives and outcomes of the Fund 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 18 for details on how to do this.*

3 Read assigned proposals (*see page 19 for details*).

4 Select an assessment score and record associated commentary.

As directed in your assignment, independently score each proposal using the assessment criteria (*see page 10*). 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.

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 for the Fund and Vision Mātauranga.

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 19*) 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.

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

- > how closely your area(s) of expertise aligns with the proposal; either Aligned, Well aligned, or Very well aligned.

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, comments may be made available under the Official Information Act.
- > word limits for comments apply; these limits clearly display at the top left of each **Comment** field in the IMS portal.

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

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

The Government's Goals for the Fund

The New Zealand Government seeks an integrated approach to commercialisation where those involved in commercialisation activities work together to:

- > generate benefit to New Zealand from Government investment in research and development
- > create scale, enhance capability and improve collaboration
- > raise their investment in, and uptake of, research and development

The Objective of the Fund

The objective of the Commercialisation Partner Network Fund (the Fund) is to enable research organisations and businesses to more effectively identify and exploit market opportunities and distribution channels for products and services generated from research and development. The vision is that businesses, investors and entrepreneurs will actively seek the Commercialisation Centres to access opportunities for wealth creation.

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 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:

- > whether Vision Mātauranga been incorporated in the design of the research, and the capability of the team and its connections to key Māori stakeholders?
- > 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 will 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 Vision Mātauranga policy, we encourage you to consult these key reference documents:

- > The [National Statement of Science Investment 2015-2025](#) details the Government's ten-year vision for New Zealand's science system.
- > The Gazette Notice ([number 2016-go3833](#)) sets the criteria for use in making funding decisions for the Fund.
- > The [Commercialisation Partner Network Fund 2019 investment round's Call for Proposals](#).

See MBIE's [Commercialisation Partner Network Fund web page](#) on MBIE's website for a full list of reference documents.

Assessment Criteria and Scoring Guide

Eligible proposals will be assessed against their ability to deliver both the Commercialisation Services criteria and the National Network criteria. 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 for the Fund and Vision Mātauranga. While certain sections of proposals specifically align with the assessment criteria, evaluate the proposal as a **whole** before finalising your assessment.

COMMERCIALISATION SERVICES ASSESSMENT CRITERIA – Weighting 50%

	Score & Keywords						
	1 <i>(Low quality)</i> None Insufficient Not relevant No information Missing	2 Vague Unclear Unlikely Dubious Little relevance	3 Limited benefit / impact Minimum acceptable level Uncertainty Lacks detail	4 Acceptable Sufficient Adequate Suitable	5 Significant Clear Multiple High level Robust	6 Certain Enduring Effective Comprehensive Strong Experience	7 <i>(High quality)</i> Excellent Exemplary Detailed Step-change Impressive
When assessing these criterion, consider how the proposal has address the following questions:							
<p>INVESTMENT PRACTICES</p> <p>Key Question: How strong is the applicant's ability to manage commercialisation project pipelines, investment performance and robust investment practices, including using an expert investment committee?</p> <p>Consider:</p> <ul style="list-style-type: none"> > The nature of any significant commercial deals arising from commercialisation investment decisions made to date by those involved in the proposal. Include the total number of complete deals and their average value. > The value of technologies and IP realised from the investment decisions with an explanation of the valuation formula/technique used. > How Māori opportunities or resources are included. > The mechanisms put in place to develop and manage a sustainable pipeline of high quality projects, including the quality of relationships with key people and research organisations to facilitate this pipeline. > The ideas or methods that will ensure a robust project assessment process; the qualitative and quantitative criteria and assessment of wider benefit to New Zealand. > How the proposed Centre will ensure the commercial impact of the proposed portfolio of commercialisation prospects is significant and not incremental. > The proposed approach to a robust investment review process to support Centre's management and review of pre-seed projects. > The stage-gate or milestone process reporting that will be used to manage projects and how it will be used to ensure "fast failure" when appropriate. 	<p>The proposal demonstrates insufficient investment practices or little or no relevant information has been provided in the proposal.</p> <p>For example, no significant deals have arisen or are not described.</p>	<p>The proposal demonstrates very weak investment practices or the information provided is unclear or not supported.</p> <p>For example, little valuable IP has been created through the applicant's investment processes or this is very weakly described.</p>	<p>The proposal demonstrates weak investment practices or the proposal provides some useful information but significant gaps and lack of detail remain.</p> <p>For example, Māori opportunities and resources have been considered at a minimum level or the proposal has gone some way to explaining why these were not relevant.</p>	<p>The proposal demonstrates adequate investment practices or solid information is provided, however there is room for further information and evidence to improve the proposal.</p> <p>For example, pipeline management is adequate and sufficiently described.</p>	<p>The proposal demonstrates significant and robust investment practices and provides clear, succinct information, delivering a solid proposal with relevant evidence.</p> <p>For example, project assessment processes are good and clearly presented.</p>	<p>The proposal demonstrates strong investment practices with comprehensive information is provided and is backed up by relevant and effective evidence.</p> <p>For example, the proposal delivers strong and comprehensive commercial impacts, which are thoroughly explained.</p>	<p>The proposal demonstrates excellent investment practices and provides information that is exemplary, well explained and detailed in all respects.</p> <p>For example, the investment review process is world-class and detailed to an exemplary level.</p>

COMMERCIALISATION SERVICES ASSESSMENT CRITERIA – Weighting 50%

	Score & Keywords						
	1 <i>(Low quality)</i> None Insufficient Not relevant No information Missing	2 <i>Vague</i> Unclear Unlikely Dubious Little relevance	3 <i>Limited benefit / impact</i> Minimum acceptable level Uncertainty Lacks detail	4 <i>Acceptable</i> Sufficient Adequate Suitable	5 <i>Significant</i> Clear Multiple High level Robust	6 <i>Certain</i> Enduring Effective Comprehensive Strong Experience	7 <i>(High quality)</i> Excellent Exemplary Detailed Step-change Impressive
<p>When assessing these criterion, consider how the proposal has address the following questions:</p>							
<p>BUILDING COMMERCIALISATION CAPABILITY Key Question: How well will the proposal build commercialisation capability? Consider:</p> <ul style="list-style-type: none"> > The track record of the organisation in delivering previous CPN contracts, when applicable. > How the proposed Centre will enhance research organisation and researcher contact with the private sector (including investor networks and Māori interests) throughout the life of the contract, and increase participants' understanding of commercialisation drivers and processes. > The processes that will enhance the technology management and commercialisation capabilities of the commercialisation units the Centre works with. > How the proposed Centre will provide opportunities for research organisations and commercialisation units to meet with and participate in activities (e.g. project investment, networking or capability building initiative) with the Centre and how that will ensure those activities provide genuine value. 	<p>The proposal demonstrates no building commercialisation capability or little or no relevant information has been provided in the proposal. For example, the proposed Centre will not enhance understanding of commercialisation or the proposal does not address this.</p>	<p>The proposal demonstrates little building commercialisation capability or the information provided is unclear or not supported. For example, the processes to be used to enhance commercialisation capability are unlikely to deliver or are unclear.</p>	<p>The proposal demonstrates weak building commercialisation capability or the proposal provides some useful information but significant gaps and lack of detail remain. For example, the opportunities the Centre will provide are limited or uncertain.</p>	<p>The proposal demonstrates adequate building commercialisation capability or solid information is provided, however there is room for further information and evidence to improve the proposal. For example, the applicant has an adequate track record of delivering CPN contracts or equivalent services.</p>	<p>The proposal demonstrates significant building commercialisation capability and provides clear, succinct information, delivering a solid proposal with relevant evidence. For example, the proposal presents good plans for building networks and this is clearly explained.</p>	<p>The proposal demonstrates strong building commercialisation capability with comprehensive information is provided and is backed up by relevant and effective evidence. For example, the proposed technology management processes are very strong and well-evidenced.</p>	<p>The proposal demonstrates excellent building commercialisation capability and provides information that is exemplary, well explained and detailed in all respects. For example, the proposal will provide excellent opportunities for researchers and commercialisation units.</p>

COMMERCIALISATION SERVICES ASSESSMENT CRITERIA – Weighting 50%

	Score & Keywords						
	1 <i>(Low quality)</i> None Insufficient Not relevant No information Missing	2 Vague Unclear Unlikely Dubious Little relevance	3 Limited benefit / impact Minimum acceptable level Uncertainty Lacks detail	4 Acceptable Sufficient Adequate Suitable	5 Significant Clear Multiple High level Robust	6 Certain Enduring Effective Comprehensive Strong Experience	7 <i>(High quality)</i> Excellent Exemplary Detailed Step-change Impressive
When assessing these criterion, consider how the proposal has address the following questions:							
<p>GOVERNANCE AND MANAGEMENT</p> <p>Key Question: How well does the proposal demonstrate robust governance and management practices and the engagement of experienced and skilled key personnel?</p> <p>Consider:</p> <ul style="list-style-type: none"> > The calibre of the governance and investment panel personnel. > The key people and evidence of their capability and reach (including into the Māori economy), the proposed modus operandi for the investment committee, and evidence of relevant accomplishment. > The experience of key personnel in the proposed Centre with portfolio investment management, specifically noting capability and capacity (e.g. number of investments under management). 	<p>The proposal demonstrates no governance and management quality or little or no relevant information has been provided in the proposal.</p> <p>For example, the governance and investment panel personnel are unskilled or their credentials are unsubstantiated.</p>	<p>The proposal demonstrates little governance and management quality or the information provided is unclear or not supported.</p> <p>For example, key people have little relevant experience or their experience is barely evidenced.</p>	<p>The proposal demonstrates weak governance and management quality or the proposal provides some useful information but significant gaps and lack of detail remain.</p> <p>For example, the applicant has only some investment and portfolio management experience or the evidence for this is limited.</p>	<p>The proposal demonstrates adequate governance and management quality or solid information is provided, however there is room for further information and evidence to improve the proposal.</p> <p>For example, the governance and investment panel members are of sufficient quality and their experience is adequately described.</p>	<p>The proposal demonstrates significant governance and management quality and provides clear, succinct information, delivering a solid proposal with relevant evidence.</p> <p>For example, the capability and reach of key personnel is clear and significant evidence is provided of this.</p>	<p>The proposal demonstrates strong governance and management quality with comprehensive information is provided and is backed up by relevant and effective evidence.</p> <p>For example, the proposal includes the people with effective investment experience and this is very well-evidenced.</p>	<p>The proposal demonstrates excellent governance and management quality and provides information that is exemplary, well explained and detailed in all respects.</p> <p>For example, the calibre of governance and investment panel members is excellent.</p>

NATIONAL NETWORKING ASSESSMENT CRITERIA – Weighting 50%

	Score & Keywords						
	1 <i>(Low quality)</i> None Insufficient Not relevant No information Missing	2 Vague Unclear Unlikely Dubious Little relevance	3 Limited benefit / impact Minimum acceptable level Uncertainty Lacks detail	4 Acceptable Sufficient Adequate Suitable	5 Significant Clear Multiple High level Robust	6 Certain Enduring Effective Comprehensive Strong Experience	7 <i>(High quality)</i> Excellent Exemplary Detailed Step-change Impressive
<p>When assessing these criterion, consider how the proposal has address the following questions:</p>							
<p>NATIONAL NETWORKING - COLLABORATION</p> <p>Key Question: How well will the applicant work collectively across the network of Centres to develop New Zealand's commercialisation capability?</p> <p>Consider:</p> <ul style="list-style-type: none"> > The Centre management’s commitment to and understanding of the goals and values of CPN. Include how the applicant has helped to deliver on these goals and values, where appropriate. > How the proposed Centre will develop and broaden the New Zealand Inc. approach to commercialisation including developing value-based enterprises and Māori needs, opportunities, resources, and interests. > The Centre’s commercialisation ecosystem partners (e.g. incubators, investor groups, industry associations), who will be actively involved and describe how the applicant will ensure early and appropriate engagement with pre-seed projects. > The evidence of interaction with investors, incubators, relevant professional service providers, specialist sector expertise organisations, what has been learned and how this has been applied to improve commercialisation. > The external expertise the Centre will access and how you will ensure the right balance of skills and expertise. 	<p>The proposal demonstrates no collaboration or little or no relevant information has been provided in the proposal.</p> <p>For example, the proposal does not indicate a commitment to a national network or does not describe this commitment.</p>	<p>The proposal demonstrates little collaboration or the information provided is unclear or not supported.</p> <p>For example, the proposal shows a dubious contribution to a New Zealand model of innovation or is unclear.</p>	<p>The proposal demonstrates weak collaboration or the proposal provides some useful information but significant gaps and lack of detail remain.</p> <p>For example, there is weak engagement with ecosystem partners or the description of this is poor.</p>	<p>The proposal demonstrates adequate collaboration or solid information is provided, however there is room for further information and evidence to improve the proposal.</p> <p>For example, the interaction with other commercialisation organisations is moderate and acceptably depicted.</p>	<p>The proposal demonstrates significant collaboration and provides clear, succinct information, delivering a solid proposal with relevant evidence.</p> <p>For example, use of external expertise is sufficient and well-evidenced.</p>	<p>The proposal demonstrates strong collaboration with comprehensive information is provided and is backed up by relevant and effective evidence.</p> <p>For example, the proposed activities show a comprehensive and effective commitment to a national network and are well described.</p>	<p>The proposal demonstrates excellent collaboration and provides information that is exemplary, well explained and detailed in all respects.</p> <p>For example, the proposal aims to lead the development of the New Zealand approach to innovation and this is very clearly presented.</p>

COMMERCIALISATION SERVICES ASSESSMENT CRITERIA – Weighting 50%

	Score & Keywords						
	1 <i>(Low quality)</i> None Insufficient Not relevant No information Missing	2 Vague Unclear Unlikely Dubious Little relevance	3 Limited benefit / impact Minimum acceptable level Uncertainty Lacks detail	4 Acceptable Sufficient Adequate Suitable	5 Significant Clear Multiple High level Robust	6 Certain Enduring Effective Comprehensive Strong Experience	7 <i>(High quality)</i> Excellent Exemplary Detailed Step-change Impressive
When assessing these criterion, consider how the proposal has address the following questions:							
<p>NATIONAL NETWORKING – NETWORK REACH</p> <p>Key Question: How well does the proposal demonstrate effective reach into local and international research, commercialisation and investment networks?</p> <p>Consider:</p> <ul style="list-style-type: none"> > How the proposed Centre will link with international commercialisation networks, ecosystems and expertise and share these links with Centre participants and other Centres and their participants. Describe existing links, where appropriate. > How the proposed Centre will facilitate the development of commercialisation networks in key target markets including relationships with potential investors or syndicates of investors, end-users, purchasers, distribution partners etc. 	<p>The proposal demonstrates no network reach or little or no relevant information has been provided in the proposal.</p> <p>For example, the proposal does not explain links with local and international networks or does not describe these links.</p>	<p>The proposal demonstrates little network reach or the information provided is unclear or not supported.</p> <p>For example, the proposal's development of networks is insufficient or is vague.</p>	<p>The proposal demonstrates weak network reach or the proposal provides some useful information but significant gaps and lack of detail remain.</p> <p>For example, the proposal has only some links to wider networks or these links are not detailed.</p>	<p>The proposal demonstrates adequate network reach or solid information is provided, however there is room for further information and evidence to improve the proposal.</p> <p>For example, the application shows adequate reach into target markets and this reach is acceptably described.</p>	<p>The proposal demonstrates significant network reach and provides clear, succinct information, delivering a solid proposal with relevant evidence.</p> <p>For example, the proposal presents good plans to make available existing networks and these are well described.</p>	<p>The proposal demonstrates strong network reach with comprehensive information is provided and is backed up by relevant and effective evidence.</p> <p>For example, the proposed network-building activities are strong and well-proven.</p>	<p>The proposal demonstrates excellent network reach and provides information that is exemplary, well explained and detailed in all respects.</p> <p>For example, the proposal shows in a very detailed way how it will build exemplary networks.</p>

COMMERCIALISATION SERVICES ASSESSMENT CRITERIA – Weighting 50%

	Score & Keywords						
	1 <i>(Low quality)</i> None Insufficient Not relevant No information Missing	2 Vague Unclear Unlikely Dubious Little relevance	3 Limited benefit / impact Minimum acceptable level Uncertainty Lacks detail	4 Acceptable Sufficient Adequate Suitable	5 Significant Clear Multiple High level Robust	6 Certain Enduring Effective Comprehensive Strong Experience	7 <i>(High quality)</i> Excellent Exemplary Detailed Step-change Impressive
When assessing these criterion, consider how the proposal has address the following questions:							
<p>NATIONAL NETWORK – COMMERCIALISATION SERVICES ACCESS AND SCALE</p> <p>Key Question: What is the ability of the applicant to deliver adequate and appropriate access to commercialisation services at sufficient scale across New Zealand?</p> <p>Consider:</p> <ul style="list-style-type: none"> > How the Centre will ensure effective engagement with those within and familiar with commercialisation and with relevant external parties interested in commercialisation but who are not integrally engaged. > The initiatives the applicant will instigate with research organisations, business and pathway partners to facilitate effective two-way communication and engagement between science and business. 	<p>The proposal demonstrates no access and scale or little or no relevant information has been provided in the proposal.</p> <p>For example, the proposal does not deliver access to and scale of commercialisation services or does not describe how these will be achieved.</p>	<p>The proposal demonstrates little access and scale or the information provided is unclear or not supported.</p> <p>For example, the applicant can only deliver minimal access to commercialisation services at a small scale or this is unclear.</p>	<p>The proposal demonstrates weak access and scale or the proposal provides some useful information but significant gaps and lack of detail remain.</p> <p>For example, the proposal has weak engagement with external parties and this is not detailed.</p>	<p>The proposal demonstrates adequate access and scale or solid information is provided, however there is room for further information and evidence to improve the proposal.</p> <p>For example, the initiatives proposed will moderately improve access or these initiatives are moderately-well described.</p>	<p>The proposal demonstrates significant access and scale and provides clear, succinct information, delivering a solid proposal with relevant evidence.</p> <p>For example, the applicant has significant links to other commercialisation services and these are shown to an acceptable degree.</p>	<p>The proposal demonstrates strong access and scale with comprehensive information is provided and is backed up by relevant and effective evidence.</p> <p>For example, the proposed communication and engagement is comprehensive and effective and clearly put forward.</p>	<p>The proposal demonstrates excellent access and scale and provides information that is exemplary, well explained and detailed in all respects.</p> <p>For example, the proposal will be impressively effective in providing the best commercialisation support at a national and international scale.</p>

COMMERCIALISATION SERVICES ASSESSMENT CRITERIA – Weighting 50%

	Score & Keywords						
	1 <i>(Low quality)</i> None Insufficient Not relevant No information Missing	2 Vague Unclear Unlikely Dubious Little relevance	3 Limited benefit / impact Minimum acceptable level Uncertainty Lacks detail	4 Acceptable Sufficient Adequate Suitable	5 Significant Clear Multiple High level Robust	6 Certain Enduring Effective Comprehensive Strong Experience	7 <i>(High quality)</i> Excellent Exemplary Detailed Step-change Impressive
When assessing these criterion, consider how the proposal has address the following questions:							
<p>NATIONAL NETWORK – BALANCING COMPLEXITY AND BENEFITS</p> <p>Key Question: How will the applicant balance the additional costs and complexity associated with an increase in the number of Centres against the benefits generated from developing a more co-ordinated approach to commercialisation?</p> <p>Consider:</p> <ul style="list-style-type: none"> > What initiatives have been run by Centre’s participants, the organisations involved, cost effectiveness, what has been learnt, and how this has been shared and applied. > How the Centre will interact with the commercialisation organisations it supports and facilitates. > How the Centre’s accountability and interface with MBIE will be managed. > How the Centre will balance the increase in costs and complexity of an additional Centre against the benefits of working coherently across the innovation ecosystem and the diverse practice against best practice. 	<p>The proposal demonstrates no balance or little or no relevant information has been provided in the proposal.</p> <p>For example, the proposal does not identify initiatives run by participants or does not present these.</p>	<p>The proposal demonstrates little balance or the information provided is unclear or not supported.</p> <p>For example, the applicant has very weak interactions with commercialisation organisations or only poorly documents these.</p>	<p>The proposal demonstrates weak balance or the proposal provides some useful information but significant gaps and lack of detail remain.</p> <p>For example, the proposal has weak accountability or the description of this is limited.</p>	<p>The proposal demonstrates adequate balance or solid information is provided, however there is room for further information and evidence to improve the proposal.</p> <p>For example, the proposal makes an adequate balance between complexity and coherence. And and this is adequately described.</p>	<p>The proposal demonstrates significant balance and provides clear, succinct information, delivering a solid proposal with relevant evidence.</p> <p>For example, the proposed initiatives are well-shared with other commercialisation services and this is demonstrated acceptably.</p>	<p>The proposal demonstrates strong balance with comprehensive information is provided and is backed up by relevant and effective evidence.</p> <p>For example, the proposed interactions with other organisations are comprehensive and effective, and this is strongly evidenced.</p>	<p>The proposal demonstrates excellent balance and provides information that is exemplary, well explained and detailed in all respects.</p> <p>For example, the applicant will have excellent accountability.</p>

Viewing Assigned Proposals and Recording Assessments

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

Accessing the IMS Portal

To access the portal you require:

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

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

■ To log in to the IMS portal:

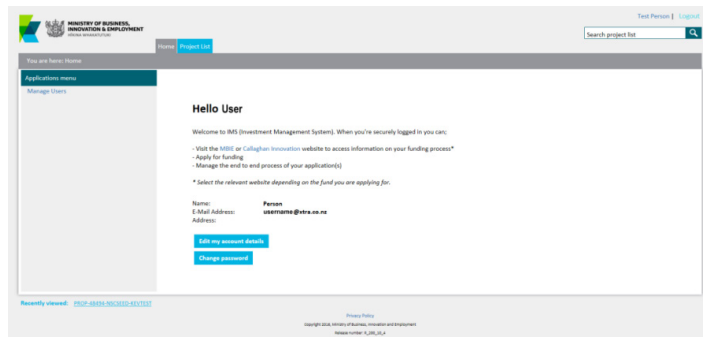
For first time Assessors:

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

UCM proposals will be assigned to you for preliminary assessment on **19 February 2019**. Additional proposals may be assigned to you after this period as a result of adjustments required due to any declared conflict of interests.

■ To accept (or decline) an assignment:

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

This agreement will only display 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.

The screenshot shows the MBIE portal interface. At the top, there is a navigation bar with 'Home' and 'Project List' tabs. Below this, a breadcrumb trail indicates 'You are here: Home'. The main content area is titled 'Current Investment Assessments' and includes a brief explanatory text. A table lists several assigned proposals, each with a 'View Project' link and an 'Archive' button. The table columns are: 'Title of Assigned Proposal', 'Assessment Panel Member', 'Submitted', and 'Archive'.

3. Scroll down the list to see your assignments.
The 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 the heading **2019 Commercialisation Partner Network Fund**.
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 CPN@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 **12 noon, 6 March 2019**.

■ 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.

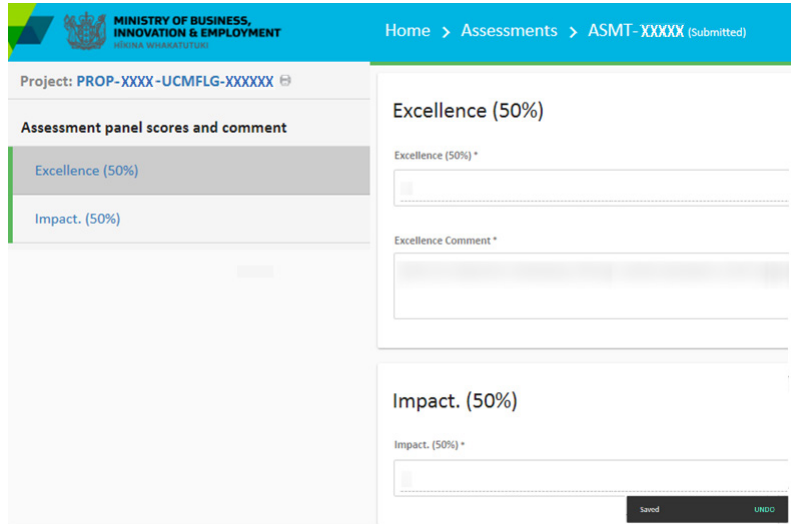
The screenshot displays the 'View Assessment' interface. At the top, the Ministry of Business, Innovation & Employment logo is visible alongside the navigation path: Home > Assessments > ASMT-XXXXX (Submitted). A navigation panel on the left shows the project ID 'Project: PROP-XXXX-UCMFLG-XXXXXX' and a section titled 'Assessment panel scores and comment' with two items: 'Excellence (50%)' and 'Impact. (50%)'. A red arrow points to a printer icon next to the project ID. The main content area is divided into two sections: 'Excellence (50%)' and 'Impact. (50%)'. Each section contains a score input field (e.g., 'Excellence (50%) *') and a corresponding comment field (e.g., 'Excellence Comment *').

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.

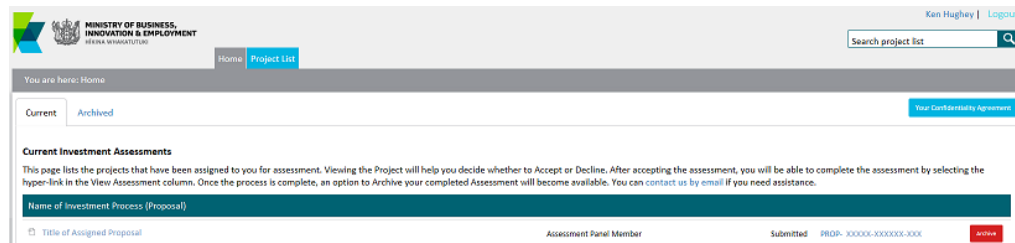
4. When your assessment is complete (you have recorded your assessment rating and comment(s) into all of the fields), click the **Submit** button.
5. A summary dialog displays with your assessment. If your recorded answers are satisfactory to you, click the **Submit** button. If not, click the **Back**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

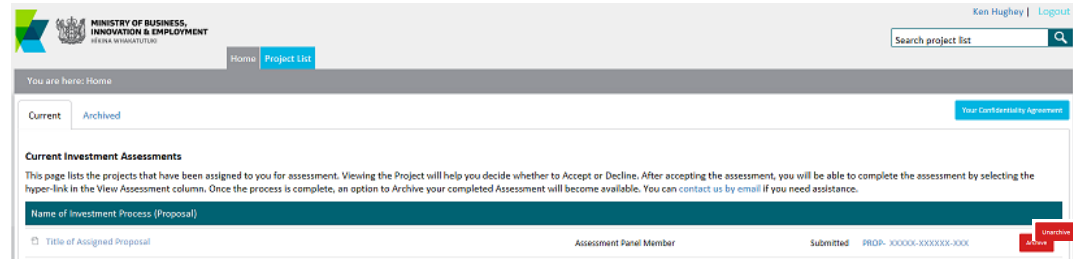
6. Close the browser tab displaying the **Scoring** page and return to the tab displaying your list of assignments.

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 retrieve 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

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**.

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

