

Strategic Science Investment Fund:
New Zealand Data Science Research
Programmes

Assessment Guidelines

2019



MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT
HĪKINA WHAKATUTUKI

newzealand.govt.nz

The material contained in this document is subject to Crown copyright protection unless otherwise indicated. The Crown copyright protected material may be reproduced free of charge in any format or media without requiring specific permission. This is subject to the material being reproduced accurately and not being used in a derogatory manner or in a misleading context. Where the material is being published or issued to others, the source and copyright status should be acknowledged. The permission to reproduce Crown copyright protected material does not extend to any material in this report that is identified as being the copyright of a third party. Authorisation to reproduce such material should be obtained from the copyright holders.

Published May 2019

Contents

FOREWORD	1
INTRODUCTION	2
ASSESSMENT ROLES AND RESPONSIBILITIES	3
<hr/>	
Assessor	3
Lead Assessor	3
Vision Mātauranga Expert	3
Assessment Panel Chair	3
Confidentiality and Privacy	4
Conflicts of Interest	4
What is Considered a Conflict of Interest?	4
Reporting Identified Conflicts	5
Handling Conflicts of Interest During the Assessment Panel Meeting	5
THE ASSESSMENT PROCESS	6
<hr/>	
Key Dates	6
Time Commitment	6
Assessor Training	6
Allocation of Proposals to Assessors	7
How and When Assessments are Recorded	7
Assessment Panel Meeting	7
Shortlist Recommendations and Decisions	7
PERFORMING ASSESSMENTS	8
<hr/>	
The Assessment Steps	8
The Government's Data Science Research Investment Goals	9
The Research Focus of the Programmes	9
VIEWING ASSIGNED PROPOSALS AND RECORDING ASSESSMENTS	13
<hr/>	
Accessing the IMS Portal	13
Accepting/Declining Assigned Proposals	14
Viewing and Printing Assigned Proposals	15
Recording Assessments	15
Checking the Status of your Assessments	17
Updating Your IMS Portal Details	17

The vision of the New Zealand Data Science Research Programmes is that New Zealand has a dynamic, exciting and cutting edge advanced data science research community and advanced data science is solving real challenges for New Zealand, across the economy, society and environment.

Foreword

Thank you for agreeing to assess New Zealand Data Science Research Programme proposals submitted for funding via the Strategic Science Investment Fund.

Investment in New Zealand Data Science Research Programmes involves a registration phase followed by full proposals. Informed assessment of the Research Programme proposals is a critical aspect of MBIE's investment process, as it is the basis of MBIE's decision on the portfolio of investments.

These guidelines detail what is involved in the assessment of the Research Programme proposals and the role that you will play in that process.

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. Thank you for supporting MBIE's science investment processes.



Dr. Prue Williams



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

2

Introduction

The Government wants to advance the development of a dynamic and world class data science capability for New Zealand. Capability will be built through a strategic portfolio of up to four multidisciplinary, use- inspired data science research programmes that address big challenges for the economy, environment and society.

As an assessor, you are critical in helping MBIE identify the Research Programme proposals that have the greatest potential to meet the investment objectives of the New Zealand Data Science Research Programmes funding. Your assessment will help to inform decisions on which proposals are successful and make up the portfolio of investments.

These guidelines detail the assessment process and the key roles and responsibilities for New Zealand Data Science Research Programme proposals only.

We recommend you read this document in conjunction with the New Zealand Data Science Research Programmes Call for Proposals 2019 and other relevant information on MBIE's New Zealand [Data Science Research Programmes webpages](#).

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

Email	Assessment queries: ssif.investment@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 the New Zealand Data Science Research Programme proposals.

Assessor

Your role as an assessor is to assess the proposals and contribute to the Panel discussion. Your key responsibilities include:

- > Participating in Assessor training.
- > 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. You may have the opportunity to discuss the proposal with the applicant.
- > Advising on the potential mix of programmes which would form the strategic portfolio for the data science research investment.
- > The Assessment Panel does not have delegated authority to make investment decisions.

Lead Assessor

In addition to the responsibilities of an Assessor, you may be asked to be a Lead Assessor for a selection of proposals. During the Assessment Panel meeting, you then introduce and lead the discussion on those proposals.

Vision Mātauranga Expert

Vision Mātauranga Expert responsibilities include:

- > Participating in training.
- > Declaring any conflicts of interest and adhering to MBIE's confidentiality and privacy policies.
- > Reading and providing written assessment on how well proposals address the Vision Mātauranga policy. Where proposals indicate Vision Mātauranga is not relevant provide an assessment if this is accurate or whether Vision Mātauranga should have been included.
- > Vision Mātauranga Experts will attend the Panel meeting to discuss their comments and provide expert advice to the Panel.

Assessment Panel Chair

MBIE will chair the Panel meeting as a non-voting member. The role of the Chair is to:

- > 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 Research Programme proposals and mediate views if required.
- > Ensure that the Assessment Panel:
 - follows the scoring system and provides sound advice
 - develops appropriate commentary on the proposals to inform funding recommendations and to enable appropriate feedback to applicants
 - considers the Vision Mātauranga Experts comments where Vision Mātauranga is essential to the success of the proposal and incorporates this into final decision making.
- > Provide a Panel Meeting Report including funding recommendations to MBIE.

4

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 us (ssif.investment@mbie.govt.nz), and
 - email us 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. MBIE is subject to the Official Information Act 1982 therefore information relating to an assessment may be released by MBIE if requested under the Act.

Conflicts of Interest

MBIE follows a rigorous process to maintain the credibility of investment decisions and to assure applicants that their proposal is 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 14 for details on how to do this*).

What is Considered a Conflict of Interest?

Conflicts of interest may occur on two different levels:

- > A **direct** conflict of interest; where an assessor is:
 - directly involved with a proposal (*as a participant, manager, mentor, or partner*) or has a close personal relationship with the applicant, for example, family members, or
 - a collaborator or in some other way involved with an applicant's proposal.
- > An **indirect** conflict of interest; where an assessor:
 - is employed by an organisation involved in a proposal but is not part of the applicant's proposal.
 - has a personal and/or professional relationship with one of the applicants, e.g., an acquaintance.
 - is assessing a proposal under discussion that may compete with their business interests.

If you are from a University or Crown Research Institute or other large organisation, you may assist in the assessment of a proposal from that institution providing you have no direct or limited indirect interest in the proposal. If in doubt, declare and discuss with 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 ssif.investment@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 Assessment Panel Chair. You will be required to leave the room during the ensuing assessment discussion.

The actions required for a declared **indirect conflict** of interest is the discretion of the Chair; this 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.

6

The Assessment Process

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

Key Dates

Assessor training	18 July 2019
Proposals assigned	19 July 2019
Assessment recorded in the IMS portal	12 noon, 30 July 2019
Assessment Panel meeting	5-7 August 2019
MBIE decisions on proposals announced	September 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 assessor training via teleconference
Half day per proposal	Read your assigned proposals, assign scores and enter those scores with comment in the IMS portal.
3 days	Attend the Assessment Panel meeting in Wellington New Zealand.

Assessor Training

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

- > Assessment tools and resources that are available
- > Content of the New Zealand Data Science Research Programmes Call for Proposals: 2019 including the structure of the application form, the assessment criteria, and the scoring guide.

Information about this training will be sent to assessors separately.

Allocation of Proposals to Assessors

Proposals that meet the eligibility criteria are assigned to assessors in part by aligning the proposal 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. Depending on the volume of proposals received MBIE may appoint lead assessors.

On **19 July 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 assigned proposals, identify and notify MBIE of any conflicts of interest and then accept or decline your assigned proposals accordingly.
2. Open (*download and/or print*) all assigned, accepted proposals.

Refer to page 13 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, 30 July 2019**.

Assessment Panel Meeting

The Assessment Panel meets in August 2019 to discuss the preliminary assessment scores and supporting comments. Applicants may be invited to make a presentation to the Panel on their proposal.

The Panel's discussion and moderation may take into account any additional information gathered during the assessment process.

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

Shortlist Recommendations and Decisions

The Assessment Panel Chair will provide MBIE with a report recommending which proposals should make up the successful portfolio for the New Zealand Data Science Research Programme. The assessment will include advice on the mix of proposals to form the strategic portfolio.

The final decision on the shortlisted applicants will be made by the Deputy Chief Executive (DCE), of the Labour, Science and Enterprise Group, MBIE.

Decisions will be publicly announced in **September 2019**. MBIE will provide applicants with general feedback based on the Assessment Panel's comments about the overall quality of proposals.

8

Performing Assessments

Use the following procedure to assess New Zealand Data Science Research Programme proposals.

The Assessment Steps

1 Read and understand the assessment criteria, the Government's Data Science Investment Goals and the [Call for Proposals, New Zealand Data Science Research Programme 2019](#)

The assessment criteria includes the scoring guide, and notes for each assessment criterion, which provides a common interpretation to clarify and help ensure consistency.

2 Accept (or decline) assigned proposals.

Accept your assigned proposals or decline if you deem a conflict of interest exists (*see page 14 for details*).

3 Read assigned proposals (*see page 15 for details*).

4 Select an assessment score and record associated commentary.

Only assess the information presented in the proposals. 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.

Independently score each proposal using the assessment criteria (*see page 11*).

For each criterion, select a score ranging from 1 (*low quality*) to 7 (*high quality*) from the scoring grid that best matches your assessment.

Record your assessment scores in the IMS portal (*see page 15*) and comment on why you selected those scores. Your comments should also identify the specific reasons for a deficiency, particularly if you are recording a score of 4 or less.

Assessors are not required to apply the assessment criteria weightings to scores as this will be done by MBIE during the panel meeting.

When assessing please:

- > evaluate the proposal as a whole before finalising your assessment,
 - > ensure 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, comments 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,
 - > exercise your knowledge, judgement and expertise to reach clear and soundly based assessments that are fair, objective and evidence-based and
 - > be wary of 'drift' in your scoring. It is common for scoring to change as assessors gain experience with the assessment process, you may want to review your scores and comments before finalising.
-

5 Attend an Assessment Panel meeting

Discuss scores and feedback from the Vision Mātauranga Experts and reach a final set of recommendations to MBIE.

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

7 In IMS, Vision Mātauranga Experts will accept assigned proposals or decline where a conflict of interest exists. Vision Mātauranga Experts will record commentary on each of the criteria relating to Vision Mātauranga for each proposal. Vision Mātauranga Experts will attend the Panel meeting to discuss their comments and provide expert advice to the Panel.

The Government's Data Science Research Investment Goals

The government has identified five investment goals, which if fulfilled, will significantly advance data science capability in New Zealand.

The goals for this investment are to:

1. **Deliver excellence:** Produce excellent, cutting edge, dynamic and paradigm-shifting data science research.
2. **Grow capability:** Grow the scale, depth, excellence and impact of New Zealand's data science research community. The programmes will have strong leadership and multidisciplinary teams. They will attract top international researchers and support emerging researchers.
3. **Deliver additionality:** Provide fresh and ambitious thinking, new people, new collaborations, new and expanded research, and new impacts that would not have happened without this investment.
4. **Leverage collaboration:** Foster and grow international and national collaborations among data science researchers, and between data science researchers and end users. Collaborations should support research excellence and grow data science capabilities.
5. Give effect to the **Vision Mātauranga** policy.

The Research Focus of the Programmes

Each programme will focus on a profound and complex data science challenge, inspired by problems drawn from the real world. The research will be use-inspired.

Use-inspired: the programmes will address practical problems facing New Zealand and expand the data science body of knowledge

Real-world domains with the potential to integrate data science and that are of interest to government includes, but is not limited to:

- > **Agritech** to inform the future of food and farming. This includes the use of approaches such as precision agriculture, sensor technologies and on-farm robotics.
- > **Energy technologies** to develop sustainable technologies in the energy sector.
- > **Environment/conservation** to support climate change and conservation research.
- > **Health** to connect, process and analyse large amounts of data that will support innovative models of care and more equitable health outcomes for people and populations.
- > **Space** to support space missions. Examples include artificial intelligence for automated systems in space, on-board data processing, and the analysis of earth observation data
- > **Urban systems** to inform urban planning and how we design and build structures to deliver data centric urban systems.
- > **Other domains** addressing current issues for New Zealand and that inspire advanced and innovative data science will be considered.

— 10

Data science research areas that could deliver benefits in the domains include, but are not limited to:

- > advanced machine learning,
- > statistical learning,
- > data quality and mining,
- > image processing,
- > language processing,
- > visualisation,
- > transparency and metrics, and
- > Te Ao Māori and data science.

MBIE recognises data science is fast-moving and assessors will not use a narrow definition to determine whether proposed themes are in or out of scope but will consider whether the proposed programme meets the government data science investment goals.

DATA SCIENCE RESEARCH PROGRAMME PROPOSAL								
ASSESSMENT CRITERIA	SCORING GUIDE							
	Weighting	Score & Keywords	1 <i>(Low quality)</i> Missing Irrelevant No potential No credibility	2 <i>Minimal</i> Low relevance Little potential Little credibility	3 <i>Some</i> Partially relevant Some potential Some credibility	4 <i>Most</i> Generally relevant General potential Generally credible	5 <i>Substantial</i> Relevant Good potential Credible	6 <i>Comprehensive</i> Very relevant Very good potential Very credible
<p>EXCELLENCE</p> <p>The Programme(s) will deliver excellence by developing cutting edge, dynamic and paradigm-shifting data science research for New Zealand</p> <p>When assessing this criterion, assessors will consider the proposal's:</p> <ul style="list-style-type: none"> > strategic direction and vision, > selection of the real world problem and data science research area(s) to be addressed and how the method and high level approach (methodology) will enable the delivery of the research aims, > approaches and whether they be innovative or novel, and if they develop new knowledge, including where relevant exploring indigenous knowledge and/or scientific or technological advances, > skills and knowledge the team has to deliver the proposed activities, including leadership expertise and experience, relevant collaborations, and > ability to manage and use data and technology, including Māori data, in a trusted and ethical manner. 	25%	Content is missing, irrelevant or has no potential to deliver a high quality advanced Data Science Research Programme.	<p>Many aspects are missing, have low relevance, or have little potential.</p> <p>For example, the research plan has no potential, and the strategic priorities have low relevance.</p>	<p>Many aspects are adequately met, but with some gaps or deficiencies.</p> <p>For example, the research plan shows some potential, but the strategic priorities have low relevance.</p>	All aspects are met to a generally adequate level.	All aspects are adequately met; with some strongly met.	<p>All aspects are strongly met; with some met at an excellent level.</p> <p>For example, the research priorities are very relevant, and the research plan is highly credible.</p>	All aspects are met in a highly innovative, relevant, credible and exemplary manner in terms of delivering world-leading data science research.
<p>IMPACT</p> <p>The Programme will create direct and indirect benefits for New Zealand by generating value for data science end-users, including data science-based industries</p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> > where relevant, address the themes of the Vision Mātauranga Policy, > develop advanced and innovative data science approaches that can help solve key challenges for New Zealand in line with the Government Investment Goals, > support a pipeline of research so that new ideas can be developed and applied to solve problems, > deliver additionality, provide ambitious fresh thinking, new people, new and expanded research, new collaborations and impacts that would not have happened without this investment, and > develop pathways to impact with the selected domain and beyond to other real world domains, including for Māori (where relevant). 	25%	Content is missing, irrelevant or lacks potential or credibility to create benefits for New Zealand.	<p>Many aspects are missing, have low relevance, or have little potential.</p> <p>For example, the scale of benefits lacks credibility, and minimal opportunities for leveraging value have been identified.</p>	<p>Most aspects are adequately met, but with some gaps or deficiencies.</p> <p>For example, the scale of benefits has some credibility but leveraging opportunities is minimal.</p>	All aspects are met to a generally adequate level.	All aspects are adequately met; with some strongly met.	<p>All aspects are strongly met; with some met at an excellent level.</p> <p>For example, the proposed scale of benefits is very credible, with excellent potential for leveraging via partnerships.</p>	All aspects are met in a highly innovative, relevant, credible and exemplary manner in terms of the scale and likelihood of potential benefits to New Zealand.

DATA SCIENCE RESEARCH PROGRAMME PROPOSAL								
ASSESSMENT CRITERIA	SCORING GUIDE							
	Weighting	Score & Keywords	1 (Low quality) <i>Missing Irrelevant No potential No credibility</i>	2 <i>Minimal Low relevance Little potential Little credibility</i>	3 <i>Some Partially relevant Some potential Some credibility</i>	4 <i>Most Generally relevant General potential Generally credible</i>	5 <i>Substantial Relevant Good potential Credible</i>	6 <i>Comprehensive Very relevant Very good potential Very credible</i>
<p>INVESTING IN PEOPLE</p> <p>The Proposal will grow the scale and depth of New Zealand’s Data Science Capability</p> <p>When assessing this criterion, assessors will consider the proposal’s potential to:</p> <ul style="list-style-type: none"> > develop deep excellence and world class academic leadership in defined areas of data science, > foster a multi-disciplinary approach across disciplinary boundaries, > leverage collaboration, attract top researchers to New Zealand and support New Zealand emerging researchers, provide support for PhDs and post-doctorates and where possible encourage them to gain international experience, and > develop Māori capability in data science (where relevant). 	25%	Content is missing, irrelevant or lacks credibility or potential in terms of delivering benefits via end-users.	<p>Many aspects are missing, have low relevance, or have little potential.</p> <p>For example, material on governance or management is missing, and the pathway for delivering benefits has little potential.</p>	<p>Most aspects are adequately met, but with some gaps or deficiencies.</p> <p>For example, the pathway for delivering benefits has some credibility but the proposed organisational arrangements show little potential for effective governance or management.</p>	All aspects are met to a generally adequate level.	<p>All aspects are adequately met; with some strongly met.</p> <p>For example, the proposed governance and management structures show good potential, and the pathway to impact is very credible.</p>	<p>All aspects are strongly met; with some met at an excellent level.</p> <p>For example, the pathway to impact shows very good potential, and the means of maximising opportunities and effectively managing risks is highly credible.</p>	<p>All aspects are met in a highly innovative, relevant, credible and exemplary manner in terms of delivering expected benefits via end users.</p>
<p>DOMESTIC AND INTERNATIONAL COLLABORATION</p> <p>The programme will build a higher performing collaboration to deliver excellent research and grow domestic and international science connections</p> <p>When assessing this criterion, assessors will consider the proposal’s potential to:</p> <ul style="list-style-type: none"> > grow international and national collaborations, > develop enduring and strategic collaborations with end users, draw on a range of industry, science and government expertise to enhance the relevance of the research, > develop enduring and strategic partnerships to engage Māori in planning, conducting or implementing the research (where relevant), and > bring complementary resources to the programme, build a connected high performing research team and facilitate access to leading edge data science research and infrastructure. 	25%	Content is missing, irrelevant or lacks credibility or potential in terms of delivering benefits via end-users.	<p>Many aspects are missing, have low relevance, or have little potential.</p> <p>For example, material on governance or management is missing, and the pathway for delivering benefits has little potential.</p>	<p>Most aspects are adequately met, but with some gaps or deficiencies.</p> <p>For example, the pathway for delivering benefits has some credibility but the proposed organisational arrangements show little potential for effective governance or management.</p>	All aspects are met to a generally adequate level.	<p>All aspects are adequately met; with some strongly met.</p> <p>For example, the proposed governance and management structures show good potential, and the pathway to impact is very credible.</p>	<p>All aspects are strongly met; with some met at an excellent level.</p> <p>For example, the pathway to impact shows very good potential, and the means of maximising opportunities and effectively managing risks is highly credible.</p>	<p>All aspects are met in a highly innovative, relevant, credible and exemplary manner in terms of delivering expected benefits via end users.</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.

■ 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.

14

Accepting/Declining Assigned Proposals

Proposals will be assigned to you for preliminary assessment on or by **19 July 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 'Project List' page in the Investment Assessment system. At the top, there is a navigation bar with 'Home' and 'Project List' tabs. Below the navigation bar, there are tabs for 'Current' and 'Archived'. The main content area is titled 'Current Investment Assessments' and contains a table of assigned proposals. The table has columns for 'Name of Investment Process (Proposal)', 'Title of Assigned Proposal', 'Assessment Panel Member', 'Submitted', 'PROJ-XXXXXXXX-XXXX', and 'Actions'. There are three rows of data, each with a red 'Actions' button.

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 **New Zealand Data Science Programme**.
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's 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 summary.
 - You deem an **indirect conflict of interest** exists, close the proposal's summary and email us at ssif.investment@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 enable access without having to be logged into the portal.

The proposal's identification number is prominently displayed in the header of the proposal.

Proposals must be kept confidential. You **must**:

- ensure the safe keeping of all proposals and related documents (*e.g., workbooks and notes, etc.*) during the assessment process.
- 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, 30 July 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 shows a web application interface for recording assessments. At the top, there is a navigation bar with the Ministry of Business, Innovation & Employment logo and the text 'Home > Assessments > ASMT-XXXXXX (in progress)'. Below the navigation bar, the main content area is divided into two columns. The left column is a 'Navigation panel' with a list of items: 'Project: CDNC-XXXX-XXXXXXX-XXX (9)', 'Assessment Panel scores and comments', 'Excellence 1 Score', 'Impact 1' (highlighted), 'Impact 2 Score', 'Vision Matauranga Question 1', and 'Overall assessment comments'. A red arrow points from the 'Impact 1' item in the navigation panel to the 'Impact 1' section in the main content area. The 'Impact 1' section contains the following text: 'THE PLATFORM WILL CREATE DIRECT AND INDIRECT BENEFITS FOR NEW ZEALAND BY GENERATING VALUE FOR DATA SCIENCE RESEARCH END-USERS, INCLUDING DATA SCIENCE-BASED INDUSTRIES'. Below this is a list of criteria: 'When assessing this criterion, the panel will consider the Concept's potential to: • develop data science approaches, methods, tools and technologies that can be accessed by New Zealand researchers; • build the capability (scale and depth), excellence and impact of New Zealand's data science research community; • deliver additionality, provide fresh thinking, new people, new and expanded research, new collaborations and Impacts that would not have happened without this investment.' Below the criteria is a dropdown menu for 'Impact 1 Score' and a text area for 'Impact 1 Comment'. The 'Impact 2 Score' section is partially visible below, with the text: 'THE PLATFORM WILL SUCCESSFULLY DELIVER THE EXPECTED BENEFITS OF THE INVESTMENT.' and a list of criteria: 'When assessing this criterion, the panel will consider the: • credibility for the Platform to deliver research, science or technology or related activities of the scale and type needed; • credibility for the Platform to develop effective pathways to impact for data science end-users and their sectors; • credibility of the plan to establish and maintain the proposed Platform, including: - credibility, capability and sustainability of the host organisation - effectiveness of its governance and management arrangements - the host's track record for successfully establishing and leading collaborative, agile and high-performing research platforms - credibility of the underpinning partnerships; and - potential to capitalise on new opportunities and effectively manage risks.' Below the criteria is a dropdown menu for 'Impact 2 Score'.

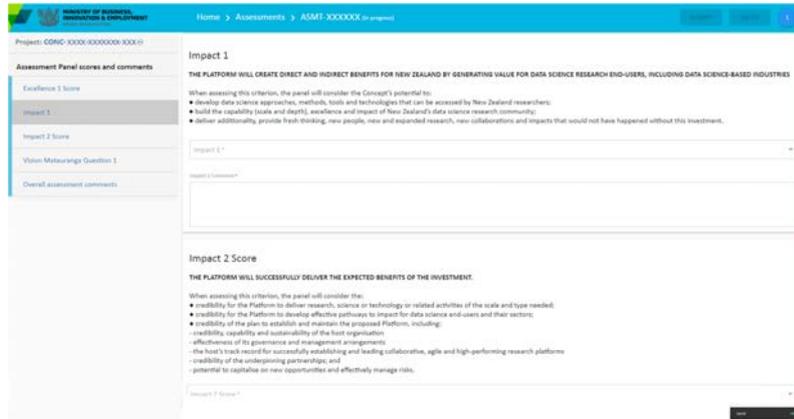
You can view and print the proposal by clicking the printer icon next to the proposal's number at the top left of the **Navigation** panel.

You **must**:

- ensure the safe keeping of all proposals and related documents, e.g., workbooks, notes, etc.
- destroy all saved/printed proposals once the assessment process is complete

16

- 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 your assessment is complete (you have recorded your assessment rating and comment(s) into all of the fields), click the **Submit** button.
- 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.

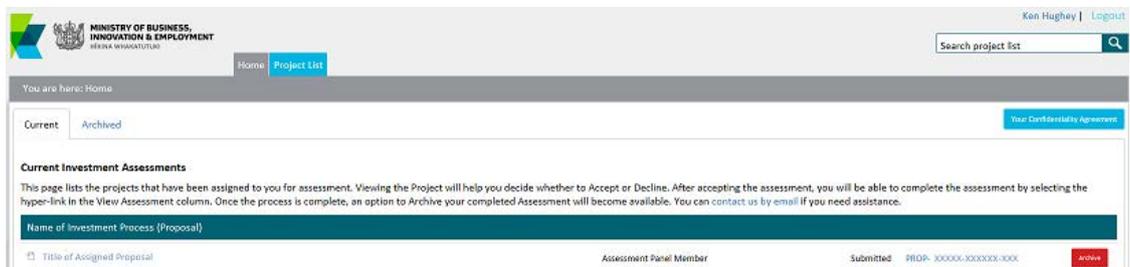
The **Submit** button is not active until all fields are complete.

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

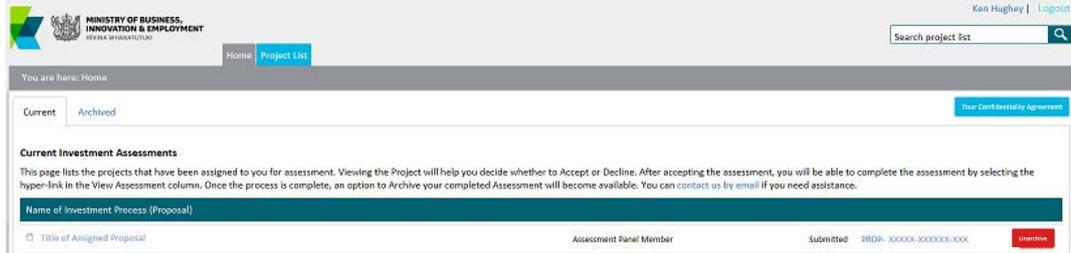
- Close the browser tab displaying the **Scoring** page and return to the tab displaying your list of assignments.

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

- 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.



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

newzealand.govt.nz