



MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT  
HĪKINA WHAKATUTUKI

# CONTESTABLE INVESTMENTS

## ANNUAL REPORTING GUIDELINES

For the period 2021 to 2022



## **Ministry of Business, Innovation and Employment (MBIE) Hīkina Whakatutuki – Lifting to make successful**

MBIE develops and delivers policy, services, advice and regulation to support economic growth and the prosperity and wellbeing of New Zealanders.

### **MORE INFORMATION**

Information, examples and answers to your questions about the topics covered here can be found on our website: [www.mbie.govt.nz](http://www.mbie.govt.nz) or by calling us free on: **0800 693 778**.

### **DISCLAIMER**

This document is a guide only. It should not be used as a substitute for legislation or legal advice. The Ministry of Business, Innovation and Employment is not responsible for the results of any actions taken on the basis of information in this document, or for any errors or omissions.

**ONLINE: ISBN 978-1-99-104110-4**

**JUNE 2022**

### **©Crown Copyright**

The material contained in this report 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.

# Contents

- Introduction ..... 3
- Key Dates..... 3
- Contact Details ..... 3
- What Happens with My Report? ..... 4
- How is the Performance of My Work Programme Assessed? ..... 4
- Smart Ideas Reporting Requirements** ..... 6
- The Reporting Period ..... 6
- Annual Declaration of Progress** ..... 6
- Final Reports ..... 6
- Annual Declaration of Progress Report Content ..... 6
- Endeavour Emergency Response Scheme** ..... 6
- Contestable Funds Reporting Requirements** ..... 7
- The Reporting Period ..... 7
- Endeavour Emergency Response Scheme** ..... 7
- The Report Content..... 7
- Partnerships Scheme Reporting Requirements** ..... 12
- The Reporting Period ..... 12
- The Report Content..... 12
- Commercialisation Partner Network and Preseed Accelerator Fund Reporting Requirements** ..... 17
- The Reporting Period ..... 17
- The Report Content..... 17
- Entering and Submitting Annual Reports ..... 19
- Accessing IMS..... 19
- Log into IMS ..... 19
- Logout of IMS ..... 19
- To Enter and Submit an Annual Report:..... 20
- Appendix A – Funds Under These Guidelines..... 22

# Introduction

These reporting guidelines describe how we, the Science System Investment and Performance branch of the Ministry of Business, Innovation and Employment (MBIE), monitor contract performance for the following funds and investment mechanisms:

- Contestable Funds (includes the Endeavour Fund. See Appendix A for a full list of funds in this category)
- Partnerships Scheme
- PreSeed Accelerator Fund (PSAF) and Commercialisation Partner Network (CPN)

Section 27 of Part 3 of the [Public Finance Act 1989](#) requires MBIE to report on the performance of Vote Business, Science and Innovation on an annual basis. Annual reports also help us understand and report to the Science Board on contract progress and achievements.

These guidelines detail:

- The required report content and key dates for submission.
- How to complete the Endeavour Smart Ideas annual declaration of progress.
- How to report on the 2020 Endeavour Emergency Response Scheme (if applicable).
- How we assess your report.
- How to enter and submit your report in our secure online Investment Management System (IMS).

## Key Dates

KEY DATE	ACTIVITY
1 July 2022	IMS opens for Contestable Funds and Partnerships Scheme Annual Reporting (and any final reports due) Includes Smart Ideas annual declaration of progress
1 August 2022	IMS opens for PSAF and CPN Annual Reporting
15 August 2022	Final date for the submission of all annual reports, and IMS closes for Annual Reporting
October 2022	Portal opens for Smart Ideas Final Reporting
November 2022	Feedback and notification of any remedial action(s) required provided
February/March 2023	RAGG status finalised for Annual Reports

All dates are NZ Standard Time. Any change to key dates will be notified via an [Alert email](#). If you are not registered for these alerts, you can [sign up here](#).

## Contact Details

Your first port of call for advice on reporting issues must be your assigned Host Superuser (e.g., Research Office). To contact us:

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

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

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

You can also [subscribe](#) to MBIE's Alert e-newsletter.

# What Happens with My Report?

The information provided in your annual report is used alongside any contract variation requests to assess the performance of your contract’s Work Programme, and to identify any areas that may require remedial action. For contract variation requests to be considered in the assessment, they **must be received before 30 June 2022**. Prior approval of requests is no longer required. Please note that requests can be made throughout the year and should be submitted as soon as required to [IMSVariations@mbie.govt.nz](mailto:IMSVariations@mbie.govt.nz).

# How is the Performance of My Work Programme Assessed?

MBIE uses the following assessment criteria to assign your contract a preliminary assessment rating in the form of a Red, Amber, Green or Gold (RAGG) status that best reflects progress. Contract holders are notified in November of their preliminary results and any remedial action(s) required. RAGG statuses are finalised late February of the following year.

REPORTING ASSESSMENT CRITERIA	
IF:	THE FOLLOWING RAGG STATUS IS ASSIGNED
your contract is performing above expectation, that is: <ul style="list-style-type: none"> <li>it is on track to deliver the Work Programme deliverables; and</li> <li>the broader results and benefits to end users are above expectations and/or at a level of quality well above expectation or well ahead of time.</li> </ul>	<b>GOLD</b>
your contract is performing satisfactorily, that is: <ul style="list-style-type: none"> <li>it is on track to deliver the Work Programme deliverables; and</li> <li>the broader results and benefits are in line with expectations; and</li> <li>it has delivered or will deliver on time and at the expected level of quality.</li> </ul>	<b>GREEN</b>
there are issues with the contract, that is: <ul style="list-style-type: none"> <li>more information is required to make an assessment; and/or</li> <li>a variation to the contract (in addition to any contract variation requests received prior to the Annual Reporting portal opening) is required with the objective of getting the project back on track; and/or</li> <li>contract conditions (if any) are not satisfied; and/or</li> <li>some action is required to get the contract back on track, for example, some issues may have been identified which means that the Work Programme deliverables and broader results and benefits:                             <ul style="list-style-type: none"> <li>have not been delivered on time AND MBIE has not received an acceptable contract variation request that fully resolves the issues; and/or</li> <li>are highly unlikely to be delivered by the time the contract matures, or they will be at a level of quality below expectation.</li> </ul> </li> </ul>	<b>AMBER</b>
there are serious issues with the contract that require action by the organisation and/or intervention by MBIE, that is: <ul style="list-style-type: none"> <li>the Work Programme deliverables and broader results and benefits will be severely under-delivered in terms of quality and timeliness, or there is a risk that the contract may fail completely; and/or</li> <li>immediate action/intervention is required to preserve the value of MBIE’s investment.</li> </ul>	<b>RED</b>

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

If your contract is assigned a preliminary **RED** RAGG status, contract payments may be suspended. Once all remedial actions have been actioned, your contract's RAGG status will be re-evaluated and if reassigned either **GOLD** or **GREEN**, any payments withheld will be released.

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

# Smart Ideas Reporting Requirements

These guidelines cover only the annual declaration of progress. Smart Ideas final reporting requirements are covered by a separate document Smart Ideas Final Reporting Requirements which will be published in September 2022.

## The Reporting Period

### Annual Declaration of Progress

The annual declaration of progress needs to be submitted between **1 July 2022 and 15 August 2022**. The annual declaration covers the Work Programme period **1 July 2021 to 30 June 2022**.

### Final Reports

All Smart Ideas contracts with an end date between **30 June 2022 and 1 October 2022** will be able to submit their final reports when the portal is open in October 2022 (the exact date is yet to be confirmed).

## Annual Declaration of Progress Report Content

To file an annual declaration of progress in IMS, follow the instructions on page 19.

The correct template will download when you add the Client Report. You will be asked to enter the Work Programme reporting period, and confirm that the following contract conditions have been met:

- There has not been significant\* departure from the projected figures or information contained in the Work Programme Agreement for all Critical Performance Indicators, and total Full Time Equivalents, as specified in the Work Programme Agreement.
- Information in the Public Statement of the Work Programme is still current.
- The Work Programme, including progress towards delivering each Impact Statement, Critical Step, or Research Aim, is on track.

\* significant departure includes:

- greater than 25% change in direct co-funding
- 25% change in total Full Time Equivalents
- 25% change in Work Programme.

If you consider that there has been significant departure, please contact your MBIE Investment Manager.

### Endeavour Emergency Response Scheme

If your Smart Ideas contract received a 6-month funded extension under the Endeavour Emergency Response Scheme (EERS), you will be required to report on this in your final report.

# Contestable Funds Reporting Requirements

This section details the requirements for your Contestable Funds annual report which needs to be submitted between **1 July 2022 and 15 August 2022**.

Annual reports are required for the Contestable Funds covered by this document, including Endeavour Research Programmes (see Appendix A for a full list). Reports are entered and submitted in IMS (see page 19). Once you have entered your report, submit it to your Host Superuser for a quality assurance check. When this is complete, they will finalise and submit your report to us for assessment. Your Host Superuser must be authorised by your organisation to declare on your behalf that:

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

We recommend that you:

- Read through this section to fully understand what is required for this reporting period.
- Draft your report in a word processor of your choice and then when ready to submit, copy and paste the necessary segments into the IMS portal fields where directed and upload any supporting documentation. Note that word limits may apply to some report sections.

## The Reporting Period

For contracts **maturing after 30 September 2022**, your annual report must cover the Work Programme period **1 July 2021** (or the start date of the Work Programme, whichever is later) to **30 June 2022**.

If your contract ends on or before **30 September 2022** you must anticipate and include the remaining months of the contract and enter your expected results in your annual report. You will not have to submit a final report at the end of the contract.

## Endeavour Emergency Response Scheme

If you received a 6-month funded extension under the 2020 Endeavour Emergency Response Scheme (EERS), you are required to report on how the additional funds provided were spent. This should be done in the Project Deliverable Status section against the EERS Impact Statement. A budget or itemisation of funds spent is not required.

## The Report Content

The following details the required reporting content. Specific instructions on how to enter this information into IMS is also noted where appropriate. For general instruction on how to access, enter, and submit reports see page 19.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
This is a guide and is not intended to constrain the information you provide.	
Progress Reporting	
<b>Annual update</b>	<p>Grouped under the following headings, clear and succinct details of your achievements during the reporting period:</p> <ul style="list-style-type: none"> <li>• Outcome Benefits to New Zealand</li> <li>• Implementation Pathway</li> <li>• Research, Science and Technology (RS&amp;T) Benefits to New Zealand</li> <li>• Other information.</li> </ul> <p style="text-align: right;"><i>Limit for <b>annual</b> reports 1500 words</i></p> <p style="text-align: right;"><i>Limit for <b>final</b> reports 4500 words</i></p>
<b>Publicly available information</b>	<p>A short summary of your project, i.e., what you expect to achieve. This information may be used in relevant media releases and for Ministerial reporting.</p> <p>You can include:</p> <ul style="list-style-type: none"> <li>• Up to five key achievements that occurred during this reporting period</li> <li>• A link to your website for further information.</li> </ul> <p style="text-align: right;"><i>Limit 1000 words</i></p>
<b>Key achievements</b>	<p>Any sensitive key achievements for the reporting period you wish to remain confidential.</p> <p style="text-align: right;"><i>Limit 200 words per entry</i></p>
<b>Project deliverable status</b>	<p>Tell us the status of each of your Work programme deliverables during the reporting period.</p> <p>In IMS, update the status by clicking the <b>Short Title</b> of the deliverable and then entering the status, reason and any actions undertaken.</p> <p>Status options:</p> <p>If a deliverable has passed its due date, choose either:</p> <ul style="list-style-type: none"> <li>• Achieved</li> <li>• Not Achieved</li> </ul> <p>If a deliverable has not passed its due date, choose one of the following:</p> <ul style="list-style-type: none"> <li>• Achieved (i.e., <i>achieved ahead of due date</i>)</li> <li>• On Track</li> <li>• On Track with Issues (i.e., <i>issues are resolvable with a contract variation</i>)</li> </ul> <p>If you select:</p> <ul style="list-style-type: none"> <li>• On <b>Track with Issues</b>, or <b>Not Achieved</b>, provide a reason and any remedial action that you plan to take.</li> </ul> <p>If a deliverable was impacted by COVID-19 during the reporting period, provide details on:</p> <ul style="list-style-type: none"> <li>• How it was affected in the <b>Reason</b> field</li> <li>• Any remedial plans that you have in the <b>Action</b> field.</li> </ul> <p style="text-align: right;"><i>Limit 75 words per entry</i></p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
	<p>This is a guide and is not intended to constrain the information you provide.</p> <p>If you received a 6-month funded extension under the Endeavour Emergency Response Scheme (EERS), report on how the additional funds provided were spent, against the EERS Impact Statement in this section.</p> <p>If you received a 6-month unfunded bulk contract variation, you will need to determine the new deliverable due date by adding the extension amount to the end date.</p> <p style="text-align: right;"><i>Limit 150 words for EERS Impact Statement (if applicable)</i></p>
<b>Work Programme Conditions</b>	<p>If you have any contractual conditions, tell us how you continue to meet these conditions or provide supporting documentation that confirms the conditions are being met.</p> <p>To check your contract conditions in IMS, select the <b>Performance management and reporting requirements menu &gt; Conditions</b> section.</p>
<b>Knowledge transfer</b>	<p>Information on:</p> <ul style="list-style-type: none"> <li>• Workshops and hui</li> <li>• Commissioned reports</li> <li>• Substantive information sharing and advice.</li> </ul> <p>For each type of knowledge transfer you want to report on, list the total number of events or deliverables.</p>
<b>Non-peer-reviewed published articles</b>	<p>The total number of articles and reports about the contract that have been published during this reporting period.</p>
<b>New products, processes, and services</b>	<p>The number of any new product, process, or service that has either been introduced to market, or implemented by industry, government, other research organisations/users, or the community during the reporting period.</p>
<b>Science quality</b>	<p>For the reporting period, the number of:</p> <ul style="list-style-type: none"> <li>• Peer-reviewed journal articles accepted for publication</li> <li>• Articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication</li> <li>• Papers or abstracts listed in publicly available conference proceedings</li> <li>• Recognised science achievements for research awarded</li> <li>• Oral feature presentations delivered by formal invitation at a recognised science forum</li> <li>• Published theses by postgraduate students employed on the project.</li> </ul>
<b>Provisional patent and plant variety rights (PVR) applications</b>	<p>The number of any intellectual property (IP) items for which provisional protection is being sought. For example, the number of:</p> <ul style="list-style-type: none"> <li>• Patent or Plant Variety Right (PVR) applications</li> <li>• Inventions or plant types for which you have lodged a patent or PVR application in one or more countries</li> <li>• Patent Cooperation Treaty (PCT) applications</li> <li>• Applications for full patents in one or more countries, administratively coordinated by the PCT, but granted in each country at the discretion of that country's patent regulatory body.</li> </ul>
<b>Patent and PVR grants</b>	<p>The number of any patents granted in one or more countries as a result of completing the PCT process, or which have not gone through the PCT process but have been granted as a result of a direct application to the Intellectual Property Office of New Zealand or the equivalent body in another country. For example, the number of:</p> <ul style="list-style-type: none"> <li>• Patents or PVRs that have been granted, and in which countries they have been granted</li> <li>• Inventions for which you have been granted a patent or PVR in one or more countries, and in which countries.</li> </ul>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
This is a guide and is not intended to constrain the information you provide.	
<b>Revenue and contracting</b>	
<b>Co-funding and subcontracting</b>	<p>The actual amount of co-funding or subcontracting for this reporting period.</p> <p>In IMS, the <b>Listed Amount</b> is the total amount across all Impact Statements listed in the contract. This is an automatically generated pro-rated GST exclusive calculation for the reporting period, based on a linear model across the life of the project.</p> <p>To enter the <b>Actual Amount</b> for the reporting period, click <b>Select type</b> to open the item and then enter the actual amount received (<i>if co-funding</i>) or paid (<i>if subcontracting</i>).</p> <p>If the amount received (<i>if co-funding</i>) or invoiced (<i>if subcontracting</i>) is not linear across the life of the project, a discrepancy between the <b>Listed Amount</b> and the <b>Actual Amount</b> may result. If this occurs, enter further details in the <b>Comment</b> field.</p> <p>If the Actual Amount you entered is less than 80% or more than 120% of the Listed Amount, you must explain this in the Comment field.</p> <p>If co-funding has been reduced or not achieved at all:</p> <ul style="list-style-type: none"> <li>• Indicate how (<i>or with what</i>) you intend to replace it, and/or</li> <li>• Demonstrate that there is still end user support for the research.</li> </ul> <p>You can enter any additional co-funding/subcontracting (i.e., <i>not listed in your contract</i>) that you have obtained by clicking the <b>Add new</b> button at the bottom of this IMS reporting section.</p>
<b>Revenue</b>	<p>Any additional revenue that your organisation has obtained as a result of:</p> <ul style="list-style-type: none"> <li>• New products, processes, or services</li> <li>• Revenue obtained from the sale of IP or consulting</li> <li>• Additional contracts won on the basis of knowledge generated by this contract.</li> </ul>
<b>Formal collaborations</b>	
<b>Collaborations by country</b>	Any collaborations with overseas organisations, by country.
<b>Capability building</b>	
<b>Students</b>	The number of Masters, Doctorate and Post-doctoral researchers working on the project.
<b>Secondments to or from end users</b>	The number of end users that have been seconded from or to your organisation.
<b>End user relationships</b>	
<b>End user details</b>	Details about organisations you have worked with during the reporting period in relation to this project. If the end user is new to the project, please provide contact details.
<b>Spinouts and start-ups</b>	
<b>Spinouts and start-ups</b>	<p>Details of any spinouts and start-ups that have been established during the reporting period, including the name and contact details of the new entity(ies).</p> <p>Spinouts and start-ups are organisations that will promote commercialisation opportunities over the life of the contract.</p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
This is a guide and is not intended to constrain the information you provide.	
COVID-19 Information	
<b>COVID-19 Information</b>	<p>Information on the following</p> <ol style="list-style-type: none"> <li>a. Was the contract impacted by COVID-19 in this reporting period? Y/N</li> <li>b. If the contract was impacted by COVID-19; on a scale of 1 to 5, rate the impact on the contract in the reporting period.</li> </ol> <p>Minor 1 2 3 4 5 Major</p> <ol style="list-style-type: none"> <li>c. Do you anticipate future impact to this contract from COVID-19? Y/N</li> <li>d. In this reporting period did COVID-19 affect the (please select all that apply): <ul style="list-style-type: none"> <li>• Outcome(s) of the contract</li> <li>• Co-funding contributions from partners or end users</li> <li>• Access to resources (equipment, materials, laboratories)</li> <li>• Ability to connect with stakeholders and end-users</li> <li>• Connection to international collaborators</li> <li>• Students/researchers impacted by border closures</li> </ul> </li> </ol>

# Partnerships Scheme Reporting Requirements

This section details the requirements for your Partnerships Scheme annual report which needs to be submitted between **1 July 2022 and 15 August 2022**.

Annual reports are entered and submitted in IMS, our secure Information Management System see page 19. Once you have entered your report into IMS, you submit it to your Host Superuser for a quality assurance check. When this is complete, they will then finalise and submit your report to us for assessment. Your Host Superuser must be authorised by your organisation to declare on your behalf that:

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

We recommend that you:

- Read through this section to fully understand what is required for this reporting period.
- Draft your report in a word processor of your choice and then when ready to submit, copy and paste the necessary segments into the IMS portal fields where directed and upload any supporting documentation. Note that word limits may apply to some report sections.

## The Reporting Period

For contracts **maturing after 30 September 2022**, your annual report must cover the Work Programme period **1 July 2021** (or the start date of the Work Programme, whichever is later) to **30 June 2022**.

If your contract **ends on or before 30 September 2022** you must anticipate and include the remaining months of the contract and enter your expected results in your annual report. You will not have to submit a final report at the end of the contract.

## The Report Content

The following details the required reporting content. Specific instruction on how to enter this information into IMS is also noted where appropriate. For general instruction on how to access, enter and submit reports see page 19.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
This is a guide and is not intended to constrain the information you provide.	
<b>Progress Reporting</b>	
<b>Annual update</b>	<p>Grouped under the following headings, clear and succinct details of your achievements during the reporting period:</p> <ul style="list-style-type: none"> <li>• Outcome Benefits to New Zealand</li> <li>• Implementation Pathway</li> <li>• Research, Science and Technology (RS&amp;T) Benefits to New Zealand</li> <li>• Other information.</li> </ul> <p style="text-align: right;"><i>Limit for <b>annual</b> reports 1500 words</i></p> <p style="text-align: right;"><i>Limit for <b>final</b> reports 4500 words</i></p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
<b>Publicly available information</b>	<p>This is a guide and is not intended to constrain the information you provide.</p> <p>A short summary of your project, i.e., what you expect to achieve. This information may be used in relevant media releases and for Ministerial reporting.</p> <p>You can include:</p> <ul style="list-style-type: none"> <li>• Up to five key achievements that occurred during this reporting period</li> <li>• A link to your website for further information.</li> </ul> <p style="text-align: right;"><i>Limit 500 words</i></p>
<b>Key achievements</b>	<p>Any sensitive key achievements for the reporting period you wish to remain confidential.</p> <p style="text-align: right;"><i>Limit 200 words per entry</i></p>
<b>Performance indicators</b>	<p>A status for each performance indicator.</p>
<b>Project deliverable status</b>	<p>The status of each of your Work programme deliverables during the reporting period.</p> <p>In IMS, update the status by clicking the <b>Short Title</b> of the deliverable and then entering the status, reason and any actions undertaken.</p> <p>Status options:</p> <p>If a deliverable has passed its due date, choose either:</p> <ul style="list-style-type: none"> <li>• Achieved</li> <li>• Not Achieved</li> </ul> <p>If a deliverable has not passed its due date, choose one of the following:</p> <ul style="list-style-type: none"> <li>• Achieved (i.e., <i>achieved ahead of due date</i>)</li> <li>• On Track</li> <li>• On Track with Issues (i.e. <i>issues are resolvable with a contract variation</i>)</li> </ul> <p>If you select:</p> <ul style="list-style-type: none"> <li>• <b>On Track with Issues</b> or <b>Not Achieved</b>, provide a reason and any remedial action that you plan to take.</li> </ul> <p>If a deliverable was impacted by COVID-19 during the reporting period, provide details on:</p> <ul style="list-style-type: none"> <li>• How it was affected in the <b>Reason</b> field</li> <li>• Any remedial plans that you have in the <b>Action</b> field.</li> </ul> <p>If you received a 6-month unfunded bulk contract variation, you will need to determine the new deliverable due date by adding the extension amount to the end date.</p> <p style="text-align: right;"><i>Limit 75 words per entry</i></p>
<b>Work programme conditions</b>	<p>If you have any contractual conditions, tell us how you continue to meet these conditions or provide supporting documentation that confirms the conditions are being met.</p> <p>To check your contract conditions in IMS, select the <b>Performance management and reporting requirements</b> menu &gt; (Work Programme) <b>Conditions</b> section.</p>
<b>Key Performance Indicators (2018 onwards)</b>	<p>Status of Key Performance Indicators</p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
This is a guide and is not intended to constrain the information you provide.	
<b>Outputs</b>	
<b>Knowledge transfer</b>	<p>Information on:</p> <ul style="list-style-type: none"> <li>• Workshops and hui</li> <li>• Commissioned reports</li> <li>• Substantive information sharing and advice.</li> </ul> <p>For each type of knowledge transfer you want to report on, list the total number of events or deliverables.</p>
<b>Non-peer-reviewed published articles</b>	The total number of articles and reports about the contract that have been published during the reporting period.
<b>New products, processes, and services</b>	The number of any new product, process or service that has either been introduced to market, or implemented by industry, government, other research organisations/users, or the community.
<b>Science quality</b>	<p>For the reporting period, the number of:</p> <ul style="list-style-type: none"> <li>• Peer-reviewed journal articles accepted for publication</li> <li>• Articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication</li> <li>• Papers or abstracts listed in publicly available conference proceedings</li> <li>• Recognised science achievements for research awarded</li> <li>• Oral feature presentations delivered by formal invitation at a recognised science forum</li> <li>• Published theses by postgraduate students employed on the project.</li> </ul>
<b>Provisional patent and plant variety rights (PVR) applications</b>	<p>The number of any intellectual property (IP) items for which provisional protection is being sought. For example, the number of:</p> <ul style="list-style-type: none"> <li>• Patent or Plant Variety Right (PVR) applications</li> <li>• Inventions or plant types for which you have lodged a patent or PVR application in one or more countries</li> <li>• Patent Cooperation Treaty (PCT) applications</li> <li>• Applications for full patents in one or more countries, administratively coordinated by the PCT, but granted in each country at the discretion of that country’s patent regulatory body.</li> </ul>
<b>Patent and PVR grants</b>	<p>The number of any patents granted in one or more countries as a result of completing the PCT process, or which have not gone through the PCT process but have been granted as a result of a direct application to the Intellectual Property Office of New Zealand or the equivalent body in another country, e.g., the number of:</p> <ul style="list-style-type: none"> <li>• Patents or PVRs that have been granted, and in which countries they have been granted</li> <li>• Inventions for which you have been granted a patent or PVR in one or more countries, and in which countries.</li> </ul>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
	This is a guide and is not intended to constrain the information you provide.
<b>Revenue and contracting</b>	
<b>Co-funding and subcontracting</b>	<p>The amount of co-funding or subcontracting for the reporting period.</p> <p>In IMS, the <b>Listed Amount</b> is the total amount across all Impact Statements listed in the contract. This is an automatically generated pro-rated GST exclusive calculation for the reporting period, based on a linear model across the life of the project.</p> <p>To enter the Actual Amount for the reporting period, click Select type to open the item and then enter the actual amount received (<i>if co-funding</i>) or paid (<i>if subcontracting</i>).</p> <p>If the amount received (<i>if co-funding</i>) or invoiced (<i>if subcontracting</i>) is not linear across the life of the project, a discrepancy between the Listed Amount and the Actual Amount may result. If this occurs enter further details in the <b>Comment</b> field.</p> <p>If the Actual Amount you entered is less than 80% or more than 120% of the Listed Amount, you must explain this in the <b>Comment</b> field.</p> <p>If the annual amount of co-funding or subcontracting has been affected by COVID-19, provide where possible, for the organisation(s) affected, a forecast for the remaining life of the contract in the Comment field.</p> <p>You can enter any additional co-funding/subcontracting (i.e., <i>not listed in your contract</i>) that you have obtained by clicking the <b>Add new</b> button at the bottom of this IMS reporting section.</p>
<b>Revenue</b>	Any additional revenue that your organisation has obtained as a result of new products, processes or services, or revenue obtained from the sale of IP or consulting, or additional contracts won on the basis of knowledge generated by this contract.
<b>Formal collaborations</b>	
<b>Collaborations by country</b>	Any collaborations with overseas organisations, by country.
<b>Capability building</b>	
<b>Students</b>	The number of Masters, Doctorate and Post-doctoral researchers working on the project.
<b>Secondments to or from end users</b>	The number of researchers that have been seconded to end-users and the number of end-users that have been seconded to the project.
<b>End user relationships</b>	
<b>End user details</b>	Details about organisations you have worked with during the reporting period in relation to this project. If the end user is new to the project, please provide contact details.
<b>Spinouts and start-ups</b>	
<b>Spinouts and start-ups</b>	<p>Details of any spinouts and start-ups that have been established during the reporting period including the name and contact details of the new entity(ies).</p> <p>Spinouts and start-ups are organisations that will promote commercialisation opportunities over the life of the contract</p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
This is a guide and is not intended to constrain the information you provide.	
COVID-19 Information	
<b>COVID-19 Information</b>	<p>Information on the following:</p> <ol style="list-style-type: none"> <li>a. Was the contract impacted by COVID-19 in this reporting period? Y/N</li> <li>b. If the contract was impacted by COVID-19; on a scale of 1 to 5, rate the impact on the contract in the reporting period.</li> </ol> <p>Minor 1 2 3 4 5 Major</p> <ol style="list-style-type: none"> <li>c. Do you anticipate future impact to this contract from COVID-19? Y/N</li> <li>d. In this reporting period did COVID-19 affect the (please select all that apply): <ul style="list-style-type: none"> <li>• Outcome(s) of the contract</li> <li>• Co-funding contributions from partners or end users</li> <li>• Access to resources (equipment, materials, laboratories)</li> <li>• Ability to connect with stakeholders and end-users</li> <li>• Connection to international collaborators</li> <li>• Students/researchers impacted by border closures</li> </ul> </li> </ol>

# Commercialisation Partner Network and Preseed Accelerator Fund Reporting Requirements

This section details the annual reporting requirements for contract holders receiving funding from either the Commercialisation Partner Network (CPN) or the PreSeed Accelerator Fund (PSAF). Your report needs to be submitted between **1 August 2022 and 15 August 2022**.

CPN and PSAF annual reports are developed using specific annual report data templates which can be downloaded from IMS in the **Annual Report Section** under your contract. The templates provide more definitions of the terms below.

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

- The submission is a true and correct record of the status of the Key Performance Indicators for the reporting period; and
- The submission accurately reflects the state of the whole investment and includes all relevant information.

We recommend that you read through this section to fully understand what is required for this reporting period.

## The Reporting Period

Your annual report must cover the Work Programme period **1 July 2021 to 30 June 2022**.

## The Report Content

The following details the required reporting content. Specific instruction on how to enter this information into IMS is also noted where appropriate. For general instruction on how to access, enter and submit reports see page 19.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
	This is a guide and is not intended to constrain the information you provide.
<b>Progress Reporting</b>	
<b>Reporting Dates</b>	The reporting period.
<b>Key Performance Indicators</b>	<p>The status of each of your Key Performance Indicators. Select one of the following:</p> <ul style="list-style-type: none"> <li>• Achieved</li> <li>• Not Achieved</li> <li>• On Track</li> <li>• On Track with Issues</li> </ul> <p>If a KPI is ongoing and requires reporting on each year, select <b>On Track</b> or <b>On Track with Issues</b>. Only select Achieved or Not Achieved in the final year of the KPI.</p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2021 – 2022
	<p>This is a guide and is not intended to constrain the information you provide.</p> <p>If you have selected <b>On Track with Issues</b>, or <b>Not Achieved</b>, provide a reason and any remedial action that you plan to take.</p> <p>Once you have entered this in IMS you must click <b>Save</b> before moving to the next reporting section.</p>
<b>Additional Information</b>	<p>An opportunity to provide further information on:</p> <ul style="list-style-type: none"> <li>• Your achievements/highlights</li> <li>• Any opportunities</li> <li>• Any future challenges to delivery.</li> </ul>

# Entering and Submitting Annual Reports

Reports are entered and submitted in our Information Management System (IMS). IMS is open for:

- Smart Ideas annual declaration of progress between **1 July and 15 August 2022**
- Contestable Funds and Partnerships Scheme annual reporting between **1 July and 15 August 2022**
- PSAF and CPN annual reporting between **1 August and 15 August 2022**.

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

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

For all IMS portal queries, contact the Investment Operations Team:

**Email** [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

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

## Accessing IMS

### Log into IMS

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

#### For first time users:

If you have not used IMS before, complete and email an [IMS access request form](#) to [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz). On acceptance, you will receive a Username and temporary password.

1. Click the **Portal URL** link in your Welcome email.
2. Type your Username and temporary password (as detailed in your registration email). The IMS **Edit password** tab displays.
3. Type your new password.
4. Retype your new password in the **Confirm new password** field.
5. Click the **Save Changes** button. A **Portal Access Agreement** displays.
6. Read the access agreement and then click the **Accept** button. The IMS **Home** tab displays.

#### For existing users:

For returning applicants, log in using your existing username and password. If you've forgotten this, use the **I've forgotten my password** option.

1. Click the MBIE **IMS Portal link** ([ims.msi.govt.nz/](https://ims.msi.govt.nz/)).
2. Type your Username and Password.
3. Click the **Login Securely** button. The IMS **Home** tab displays.

### Logout of IMS

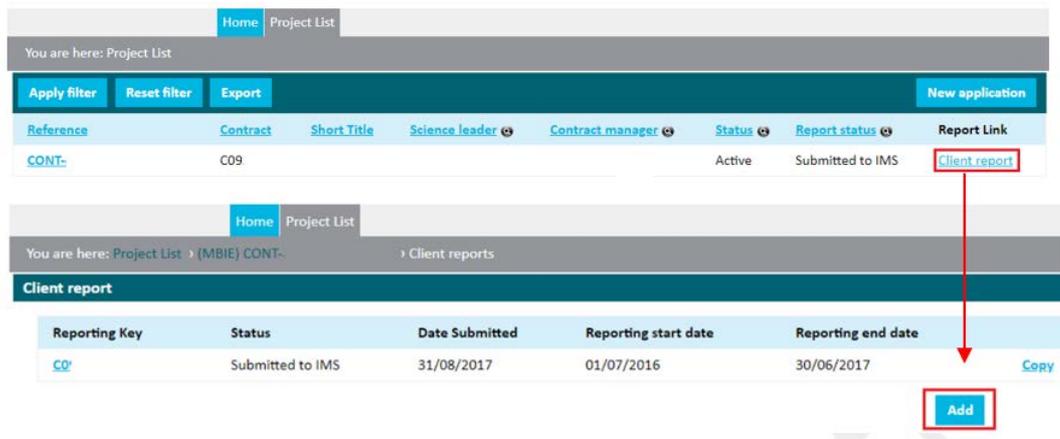
1. Click the **Logout** hyperlink (located top right of every tab).

## To Enter and Submit an Annual Report:

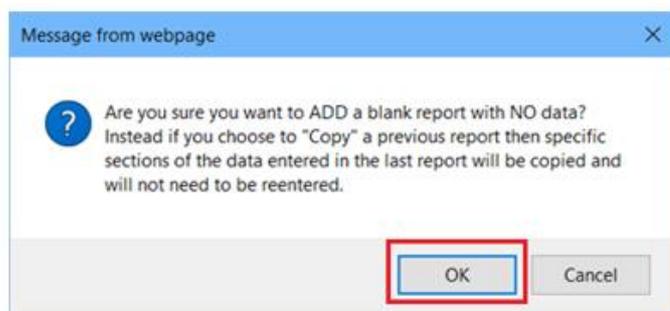
1. Click the **Project List** tab to open your organisation's **Contract** list.
2. Locate the **Contract** on which you are reporting.

If you cannot locate your contract, contact your Host Superuser (e.g., Research Office).

3. Click the **Client report** link for the appropriate project to display the Client report details.



4. Click the **Add** button and then click **OK** on the resulting dialog to confirm your action.



For the purposes of this reporting period, ignore the Copy button.

5. IMS will guide you through the completion of the required fields. We recommend that you familiarise yourself with the portal well before the deadline. When complete, click the **Save & next section** button to move to the next section.

You can copy and paste your prepared information directly into the IMS fields.

Where directed upload documents containing your references/citations. All forms of documents (e.g., Excel, Word and PDF) can be uploaded. If a PDF, ensure that it is unsecured. If secured, we will not be able to access or print your proposal. Image files cannot be uploaded.

You can save, log out, and return to IMS to edit your application before submitting it.

Mandatory fields are marked with an asterisk \*.

- Fields with a red \* must be completed before you can save and close the current section.
- Fields with a black \* must be completed before you can submit your application. We recommend that you regularly click the **Save** button to save work as you are going.

Symbols alongside each section in the navigation panel allow you to easily check the completeness of your submission.

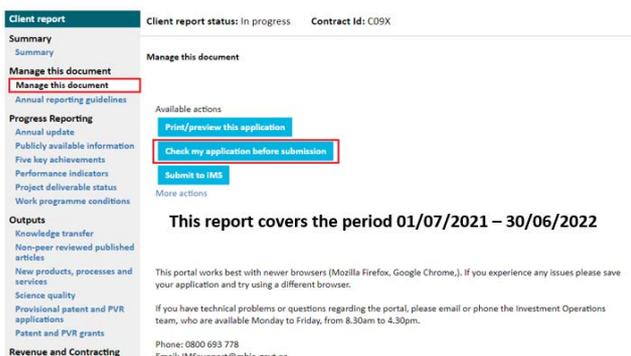
THE SYMBOL...	INDICATES THE SECTION...
	has not started.
	is in progress.
	contains invalid or incomplete fields.
	is complete and valid.

The sections to complete are listed in the left-hand navigation panel. You can click these to access the section directly or move through the sections sequentially by completing them and clicking the Save and Next Section button.

Remember to:

- Adhere to any specified word limits
- Upload any supporting documentation; these documents must be in either Word™ or PDF form

6. When complete, click the **Manage this document** link.



Client report status: In progress Contract Id: C09X

Client report

Summary

Manage this document

Annual reporting guidelines

Progress Reporting

Annual update

Publicly available information

Five key achievements

Performance indicators

Project deliverable status

Work programme conditions

Outputs

Knowledge transfer

Non-peer reviewed published articles

New products, processes and services

Science quality

Provisional patent and PVR applications

Patent and PVR grants

Revenue and Contracting

Manage this document

Available actions

Print/preview this application

Check my application before submission

Submit to IMS

More actions

This report covers the period 01/07/2021 – 30/06/2022

This portal works best with newer browsers (Mozilla Firefox, Google Chrome). If you experience any issues please save your application and try using a different browser.

If you have technical problems or questions regarding the portal, please email or phone the Investment Operations team, who are available Monday to Friday, from 8.30am to 4.30pm.

Phone: 0800 693 778  
Email: IMSsupport@mbie.govt.nz

7. Click the **Check my application before submission** button under the **Manage this document** section to verify if there are any issues with the report.

- If the validation is successful a Validation Successful message displays.
- If errors and/or incomplete fields are detected, a Validation Unsuccessful message displays with links to any issues found for correction.

8. If the validation is unsuccessful, click the first error message to open the section, make the required corrections/additions and then click the **Save** button. Repeat for all issues detected.

9. Once you have resolved all detected issues, click the **Manage this document** link and then the **Check my application before submission** button again.

10. On achieving a successful validation, click the **Submit to QA** button (Users) or the **Submit to IMS** button (Superusers).

If you clicked Submit to IMS your proposal has been successfully submitted and is now listed on the Project List tab with a status of Submitted to MBIE. If you clicked Submit to QA you will need to ensure that your Superuser performs their QA and submits your report before 15 August 2022.

# Appendix A – Funds Under These Guidelines

## **Contestable**

2014 Biological Industries - Enabling Technologies

2016 Contestable Research Fund - Research Programmes

Partnerships pre-May 2013

2017 Partnerships

2018 Partnerships

2017 Endeavour Fund - Research Programmes

2018 Endeavour Fund - Research Programmes

2019 Endeavour Fund - Research Programmes

2020 Endeavour Fund - Research Programmes

2021 Endeavour Fund - Research Programmes

## **PreSeed/CPN**

2019 Commercialisation Partner Network

2019 PreSeed Accelerator Fund

## **Smart Ideas- Annual Declaration of Progress**

2016 Contestable Research Fund - Smart Ideas

2017 Endeavour Fund - Smart Ideas

2018 Endeavour Fund - Smart Ideas

2019 Endeavour Fund - Smart Ideas

2021 Endeavour Fund - Smart Ideas



**FOR MORE INFORMATION VISIT US  
ONLINE AT [WWW.MBIE.GOVT.NZ](http://WWW.MBIE.GOVT.NZ)**

**PUBLISHED BY THE MINISTRY OF  
BUSINESS, INNOVATION & EMPLOYMENT**