



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

# Contestable Investments Annual Reporting Guidelines

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For the period 2019 – 2020

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

[newzealand.govt.nz](http://newzealand.govt.nz)

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Published June 2020

# Introduction

These Reporting Guidelines describe how we, the Science System Investment and Performance branch of the Ministry of Business, Innovation and Employment (MBIE), monitors contract performance for the following funds, funding tools and investment mechanisms:

- > Contestable funds, e.g. Endeavour (*See Appendix A for a full list*)
- > Partnerships Scheme
- > PreSeed Accelerator Fund
- > Commercialisation Partner Network (CPN) Fund

Section 27 of Part 3 of the Public Finance Act 1989<sup>1</sup> requires us to report on the performance of Vote Business, Science and Innovation on an annual basis. Annual reports help us understand and report to the Science Board on contract progress and achievements.

These guidelines detail:

- > the required report content
- > how we will assess your report
- > how to enter and submit your report in our Investment Management System (IMS) – a secure online portal.

## Changes Made to this Reporting Period

We understand that the impacts of COVID-19 on the research community are far reaching and that the pandemic may have affected your ability to deliver your Work Programme. To reduce the reporting burden on you this year we are seeking short, succinct, progress reports. If you are familiar with our annual reporting process, you will notice a small number of changes which will allow this to happen.

Changes made this year are:

- > A new reporting section to capture metrics on the impact of COVID-19 that will help us understand the overall impact of the pandemic on your project
- > New statutory report declarations and the need for you to authorise your Host Superuser to declare, on submission, that your report is a true and accurate record of progress.
- > We will not be assigning RAGG statuses this year during the assessment process.
- > Word limits have been reduced in some sections
- > Contract holders receiving funding from the CPN Fund:
  - now have a reporting template to use
  - are now required to report on Key Performance Indicators.

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

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<sup>1</sup> <http://www.legislation.govt.nz/act/public/1989/0044/latest/DLM160809.html>

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### Key Dates

1 July 2020	IMS opens for Contestable funds and Partnerships Scheme annual reporting
1 August 2020	IMS opens for PreSeed Accelerator Fund and CPN Fund annual reporting
31 August 2020	Final date for the submission of all annual reports and IMS closes Final date to email the full name and role of the person delegating authority to your Host Superuser to <a href="mailto:annualreporting@mbie.govt.nz">annualreporting@mbie.govt.nz</a>
November 2020	Feedback and notification of any remedial action(s) required provided
March 2021	Annual Reporting finalised

### 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?

We use your annual report to assess the performance of your contract's Work Programme and to identify any areas that may require remedial action. The assessment process involves evaluating the information you provide against your specific contract.

# Contestable Funds Reporting Requirements

This section details the requirements for annual reports for contracts receiving funding from a Contestable fund. For a full list of the Contestable funds, see Appendix A.

Annual reports are entered and submitted in IMS, our secure Information Management System (see page 13). 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 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.

Email the full name and role of the person delegating authority to your Host Superuser to [annualreporting@mbie.govt.nz](mailto:annualreporting@mbie.govt.nz) on or before **31 August 2020**.

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 2020**, your annual report must cover the Work Programme period **1 July 2019** (or the start date of the Work Programme, whichever is later) to **30 June 2020**.

For contracts **maturing on or before 30 September 2020**, your annual report must cover the Work Programme period **1 July 2019** (or the start date of the Work Programme, whichever is later) to **30 September 2020** (or the end date of the Work Programme if earlier). You are not required to submit a final report at the end of the contract, however, you must anticipate the remaining months of the contract and enter your expected results in your annual report.

## 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 13.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020
This is a guide and is not intended to constrain the information you provide.	
Progress Reporting	
Annual update	<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>&gt; Outcome Benefits to New Zealand</li> <li>&gt; Implementation Pathway</li> <li>&gt; Research, Science and Technology (RS&amp;T) Benefits to New Zealand</li> <li>&gt; Other information</li> </ul>
<i>Limit 1500 words</i>	

REPORT SECTIONS		CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020 This is a guide and is not intended to constrain the information you provide.
Publicly available information	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. You can include: <ul style="list-style-type: none"> <li>&gt; up to five key achievements that occurred during this reporting period</li> <li>&gt; a link to your website for further information.</li> </ul> <p style="text-align: right;"><i>Limit 1000 words</i></p>	
Key achievements	Any sensitive key achievements for the reporting period you wish to remain confidential.  <p style="text-align: right;"><i>Limit 200 words per entry</i></p>	
Project deliverable status	The status of each of your Work programme deliverables during the reporting period; either: <p><b>If a deliverable has passed its due date</b></p> <ul style="list-style-type: none"> <li>&gt; Achieved</li> <li>&gt; Not Achieved</li> </ul> <p><b>If a deliverable has not passed its due date</b></p> <ul style="list-style-type: none"> <li>&gt; Achieved (i.e. achieved ahead of due date)</li> <li>&gt; On Track</li> <li>&gt; On Track with Issues (i.e. issues are resolvable with a contract variation)</li> <li>&gt; Off Track (i.e. issues are unlikely to be resolved)</li> </ul> <p>If you select :</p> <ul style="list-style-type: none"> <li>&gt; <i>On Track with Issues</i> or <i>Off Track</i>, provide a reason and any remedial action that you plan to take</li> <li>&gt; <i>Not Achieved</i>, provide a reason</li> </ul> <p>In IMS, update the status by clicking the <b>Short Title</b> of your Work programme deliverable and then entering the status, reason and any actions undertaken.</p> <p>If a deliverable was impacted by COVID-19 during the reporting period, provide details on:</p> <ul style="list-style-type: none"> <li>&gt; how it was affected in the <b>Reason</b> field</li> <li>&gt; 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>	
Work Programme Conditions	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.  To check your contract conditions in IMS, select the <b>Performance management and reporting requirements</b> menu > <b>Conditions</b> section.	
<b>Outputs</b>		
Knowledge transfer	Information on: <ul style="list-style-type: none"> <li>&gt; Workshops and hui</li> <li>&gt; Commissioned reports</li> <li>&gt; 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>	
Non peer-reviewed published articles	The total number of articles and reports about the contract that have been published during this reporting period.	

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020 This is a guide and is not intended to constrain the information you provide.
New products, processes and services	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.
Science quality	<p>For the reporting period, the number of:</p> <ul style="list-style-type: none"> <li>&gt; peer-reviewed journal articles accepted for publication</li> <li>&gt; articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication</li> <li>&gt; papers or abstracts listed in publicly available conference proceedings</li> <li>&gt; recognised science achievements for research awarded</li> <li>&gt; oral feature presentations delivered by formal invitation at a recognised science forum</li> <li>&gt; published theses by postgraduate students employed on the project.</li> </ul>
Provisional patent and plant variety rights (PVR) applications	<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>&gt; patent or Plant Variety Right (PVR) applications</li> <li>&gt; inventions or plant types for which you have lodged a patent or PVR application in one or more countries</li> <li>&gt; Patent Cooperation Treaty (PCT) applications</li> <li>&gt; 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>
Patent and PVR grants	<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>&gt; patents or PVRs that have been granted, and in which countries they have been granted</li> <li>&gt; inventions for which you have been <i>granted</i> a patent or PVR in one or more countries, and in which countries.</li> </ul>
<b>Revenue and Contracting</b>	
Co-funding and subcontracting	<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 (if co-funding) or paid (if subcontracting).</p> <p>If the amount received (if co-funding) or invoiced (if subcontracting) 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 <b>Comment</b> field.</p> <p>If co-funding has been reduced or not achieved at all:</p> <ul style="list-style-type: none"> <li>&gt; indicate how (or with what) you intend to replace it, and/or</li> <li>&gt; demonstrate that there is still end user support for the research.</li> </ul>

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REPORT SECTIONS		CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020
This is a guide and is not intended to constrain the information you provide.		
		You can enter any additional co-funding/subcontracting (i.e. not listed in your contract) that you have obtained by clicking the <b>Add new</b> button at the bottom of this IMS reporting section.
<b>Revenue</b>		Any additional revenue that your organisation has obtained as a result of: <ul style="list-style-type: none"> <li>&gt; new products, processes or services</li> <li>&gt; revenue obtained from the sale of IP or consulting</li> <li>&gt; 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 your organisation has 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 contract details</b>		Details about organisations you have worked with during the reporting period in relation to this project.
<b>Spinouts and startups</b>		
<b>Spinouts and startups (Superuser only)</b>		Details of any spinouts and startups that have been established during the reporting period, including the name and contact details of the new entity(ies). Spinouts and startups are organisations that will promote commercialisation opportunities over the life of the contract.
<b>COVID-19 Information</b>		
<b>COVID-19 Information</b>		Information on the following: <ul style="list-style-type: none"> <li>&gt; the percentage of total work due in the reporting period that was not completed due to <u>non-COVID-19 related reasons</u></li> <li>&gt; the percentage of total work due in the reporting period that was not completed due to <u>COVID-19 related reasons</u></li> <li>&gt; the percentage of total work done in the reporting period that has a COVID-19 outcome, or was diverted to have a COVID-19 outcome. A COVID-19 outcome is any knowledge, product or service based in R&amp;D that supports New Zealand's response to COVID-19.</li> </ul> Information on any contract variation(s) required to remediate the impact of COVID-19 on the contract.

# Partnerships Reporting Requirements

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This section details the requirements for your Partnerships Scheme annual report.

Annual reports are entered and submitted in IMS, our secure Information Management System (see page 13). 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.

Email the full name and role of the person delegating authority to your Host Superuser to [annualreporting@mbie.govt.nz](mailto:annualreporting@mbie.govt.nz) on or before **31 August 2020**.

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 2020**, your annual report must cover the Work Programme period **1 July 2019** (or the start date of the Work Programme, whichever is later) to **30 June 2020**.

For contracts **maturing on or before 30 September 2020**, your annual report must cover the Work Programme period **1 July 2019** (or the start date of the Work Programme, whichever is later) to **30 September 2020** (or the end date of the Work Programme if earlier). You are not required to submit a final report at the end of the contract, however, you must anticipate the remaining months of the contract and enter your expected results in your annual report.

## 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 13.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020 This is a guide and is not intended to constrain the information you provide.
Progress Reporting	
Annual update	Grouped under the following headings, clear and succinct details of your achievements during the reporting period: <ul style="list-style-type: none"> <li>&gt; Outcome Benefits to New Zealand</li> <li>&gt; Implementation Pathway</li> <li>&gt; Research, Science and Technology (RS&amp;T) Benefits to New Zealand</li> <li>&gt; Other information</li> </ul> <p style="text-align: right;"><i>Limit 1500 words</i></p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020 This is a guide and is not intended to constrain the information you provide.
Publicly available information	<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>&gt; up to five key achievements that occurred during this reporting period</li> <li>&gt; a link to your website for further information.</li> </ul> <p style="text-align: right;"><i>Limit 500 words</i></p>
Key achievements	<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>
Performance indicators	<p>A status for each performance indicator.</p>
Project deliverable status	<p>The status of each of your Work programme deliverables during the reporting period; either:</p> <p><b>If a deliverable has passed its due date</b></p> <ul style="list-style-type: none"> <li>&gt; Achieved</li> <li>&gt; Not Achieved</li> </ul> <p><b>If a deliverable has not passed its due date</b></p> <ul style="list-style-type: none"> <li>&gt; Achieved (i.e. achieved ahead of the due date)</li> <li>&gt; On Track</li> <li>&gt; On Track with Issues (i.e. issues are resolvable with a contract variation)</li> <li>&gt; Off Track (i.e. issues are unlikely to be resolved)</li> </ul> <p>If you select :</p> <ul style="list-style-type: none"> <li>&gt; <i>On Track with Issues</i> or <i>Off Track</i>, provide a reason and any remedial action that you plan to take</li> <li>&gt; <i>Not Achieved</i>, provide a reason</li> </ul> <p>In IMS, update the status by clicking the <b>Short Title</b> of your Work programme deliverable and then entering the status, reason and any actions undertaken.</p> <p>If a deliverable was impacted by COVID-19 during the reporting period, provide details on:</p> <ul style="list-style-type: none"> <li>&gt; how it was affected in the <b>Reason</b> field</li> <li>&gt; 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>
Work programme conditions	<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>
Key Performance Indicators (2018 onwards)	<p>Status of Key Performance Indicators</p>
<b>Outputs</b>	
Knowledge transfer	<p>Information on:</p> <ul style="list-style-type: none"> <li>&gt; Workshops and hui</li> <li>&gt; Commissioned reports</li> <li>&gt; 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>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020 This is a guide and is not intended to constrain the information you provide.
Non peer-reviewed published articles	The total number of articles and reports about the contract that have been published during the reporting period.
New products, processes and services	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.
Science quality	<p>For the reporting period, the number of:</p> <ul style="list-style-type: none"> <li>&gt; peer-reviewed journal articles accepted for publication</li> <li>&gt; articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication</li> <li>&gt; papers or abstracts listed in publicly available conference proceedings</li> <li>&gt; recognised science achievements for research awarded</li> <li>&gt; oral feature presentations delivered by formal invitation at a recognised science forum</li> <li>&gt; published theses by postgraduate students employed on the project.</li> </ul>
Provisional patent and plant variety rights (PVR) applications	<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>&gt; patent or Plant Variety Right (PVR) applications</li> <li>&gt; inventions or plant types for which you have lodged a patent or PVR application in one or more countries</li> <li>&gt; Patent Cooperation Treaty (PCT) applications</li> <li>&gt; 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>
Patent and PVR grants	<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>&gt; patents or PVRs that have been granted, and in which countries they have been granted</li> <li>&gt; inventions for which you have been <i>granted</i> a patent or PVR in one or more countries, and in which countries.</li> </ul>
<b>Revenue and Contracting</b>	
Co-funding and subcontracting	<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 <b>Actual Amount</b> for the reporting period, click <b>Select type</b> to open the item and then enter the actual amount received (if co-funding) or paid (if subcontracting).</p> <p>If the amount received (if co-funding) or invoiced (if subcontracting) is not linear across the life of the project, a discrepancy between the Listed Amount and the Actual Amount may result. If this occurs enter further details in the <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>

REPORT SECTIONS		CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020
This is a guide and is not intended to constrain the information you provide.		
		<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 <b>Comment</b> field.</p> <p>You can enter any additional co-funding/subcontracting (i.e. not listed in your contract) 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 collaboration your organisation has 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.
<b>Spinouts and startups</b>		
<b>Spinouts and startups (Superuser only)</b>		<p>Details of any spinouts and startups that have been established during the reporting period including the name and contact details of the new entity(ies).</p> <p>Spinouts and startups are organisations that will promote commercialisation opportunities over the life of the contract.</p>
<b>COVID-19 Information</b>		
<b>COVID-19 Information</b>		<p>Information on the following:</p> <ul style="list-style-type: none"> <li>&gt; the percentage of total work due in the reporting period that was not completed due to <u>non</u>-COVID-19 related reasons</li> <li>&gt; the percentage of total work due in the reporting period that was not completed due to COVID-19 related reasons.</li> <li>&gt; the percentage of total work done in the reporting period that has a COVID-19 outcome, or was diverted to have a COVID-19 outcome. A COVID-19 outcome is any knowledge, product or service based in R&amp;D that supports New Zealand's response to COVID-19.</li> </ul> <p>Information on any contract variation(s) required to remediate the impact of COVID-19 on the contract.</p>

# 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) Fund or the PreSeed Accelerator Fund.

CPN and PreSeed 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.

Email the full name and role of the person delegating authority to your Host Superuser to [annualreporting@mbie.govt.nz](mailto:annualreporting@mbie.govt.nz) on or before **31 August 2020**.

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 2019** to **30 June 2020**.

## 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 13.

REPORT SECTION	CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020
	This is a guide and is not intended to constrain the information you provide.
<b>Progress report</b>	
<b>Reporting Dates</b>	The reporting period.
<b>Key Performance Indicators</b>	<p>The status of each of your Key Performance Indicators; either:</p> <ul style="list-style-type: none"> <li>&gt; Achieved</li> <li>&gt; Not Achieved</li> <li>&gt; On Track</li> <li>&gt; On Track with Issues</li> </ul> <hr/> <p>If a KPI is ongoing and requires reporting on each year, select either <i>On Track</i> or <i>On Track with Issues</i>. Only select <i>Achieved</i> or <i>Not Achieved</i> in the final year of the KPI.</p> <hr/> <p>If you have selected <i>Not Achieved</i>, <i>Off Track</i> or <i>On Track with Issues</i> 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>

REPORT SECTION	CONTENT REQUIRED FOR THE REPORTING PERIOD 2019 – 2020 <i>This is a guide and is not intended to constrain the information you provide.</i>
<b>Additional Information</b>	An opportunity to provide further information on: <ul style="list-style-type: none"><li>&gt; Your achievements/highlights</li><li>&gt; Any opportunities</li><li>&gt; Any future challenges to delivery.</li></ul>

# Entering and Submitting Annual Reports

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

- > Contestable funds and Partnerships Scheme annual reporting between **1 July** and **31 August 2020**
- > PreSeed Accelerator Fund and CPN Fund annual reporting between **1 August** and **31 August 2020**

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.

Email the full name and role of the person delegating authority to your Host Superuser to [annualreporting@mbie.govt.nz](mailto:annualreporting@mbie.govt.nz) on or before **31 August 2020**.

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

### ■ To log in to IMS:

#### For first time users:

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

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 portal's **Edit password** screen 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 **Home** screen displays.

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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.

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#### 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 **Home** screen displays.

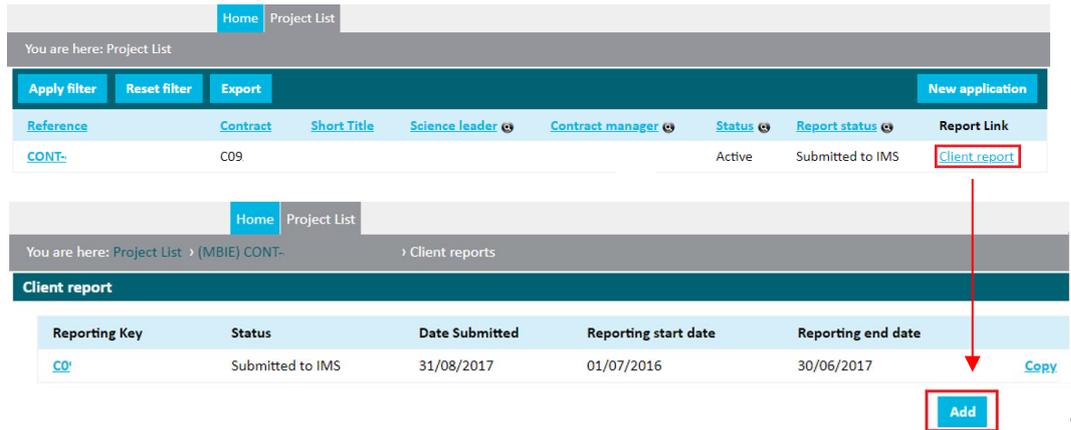
# 14

## ■ To enter and submit an annual report:

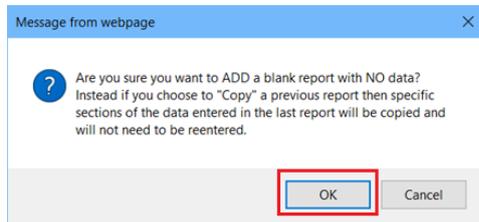
1. Click the **Project List** tab to open your organisation’s **Contract** list.
2. Locate the **Contract** on which you are reporting.

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 IMS.

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 application. Image files cannot be uploaded.

You can save, log out, and return to IMS to edit your report 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 report.

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.

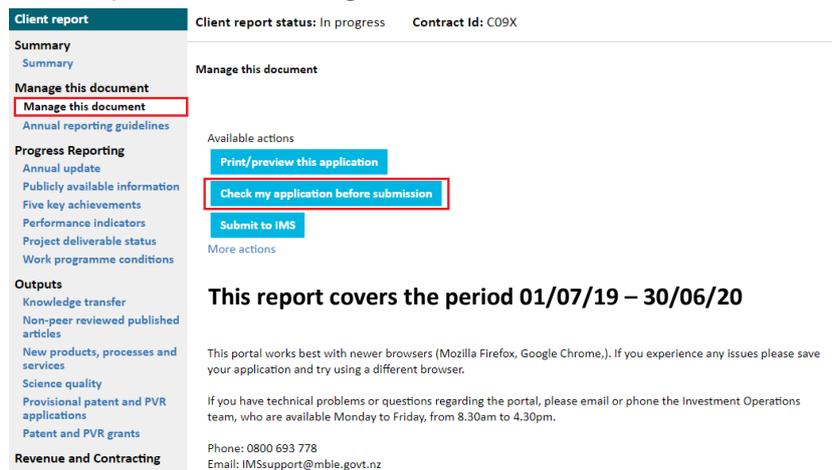
THE SYMBOL...	INDICATES THE REPORT SECTION...
	has not started.
	is in progress.
	contains invalid or incomplete fields.
	complete and valid.

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** Client report status: In progress Contract Id: C09X

**Summary**  
Summary

**Manage this document**  
**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 01/07/19 – 30/06/20**

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 31 August 2020.

## Appendix A – The Contestable Funds

The following table lists all the Contestable funds to which the guidance in this document applies.

FUND NAME	FUNDING YEAR	FUND NAME	FUNDING YEAR
Biological Industries - Enabling Technologies	2013 2014	Hazards and Infrastructure - Targeted Research	2015
Biological Industries - Targeted Research	2013 2014 2015	Health and Society - Targeted Research	2014 2015
Contestable Research Fund - Smart Ideas	2016	High Value Manufacturing and Services – Enabling Technologies	2014
Contestable Research Fund - Research Programmes	2016	High Value Manufacturing and Services - Targeted Research	2014 2015
Commercialisation Partner Network (CPN)	2019	Partnerships	Pre May 2013 2017 2018
Endeavour Fund – Smart Ideas	2017 2018 2019	PreSeed Accelerator Fund	2019
Endeavour Fund – Research Programmes	2017 2018 2019	Smart Ideas Phase 1	2014
Environment - Targeted Research	2015	Stable Funding Environment Phase 2	2009



