

November 2019

[New Zealand Government](#)

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# Endeavour Fund

## Assessment Guidelines

### 2020 Investment Round

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

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The Endeavour Fund's mission is to support research, science or technology, or related activities, with:

"The potential to positively transform New Zealand's economic performance, the sustainability and integrity of our environment, help strengthen our society and give effect to the Vision Mātauranga policy."

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# Foreword

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Thank you for agreeing to assess proposals submitted for investment from the Endeavour Fund 2020 round.

The Endeavour Fund is managed by New Zealand's Ministry of Business, Innovation and Employment (MBIE) as an investment portfolio with economic, environmental, and societal objectives. Investment is made through two mechanisms – **Smart Ideas** and **Research Programmes**. These guidelines detail what is involved in assessing both mechanisms and the role that you will play in this process.

Informed assessment of proposals is a critical aspect of MBIE's investment process, as it forms the basis of the Science Board's investment decisions. 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 expertise that you bring to the investment process is greatly appreciated.

Thank you for supporting MBIE's science investment processes.

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# Introduction

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As an Assessor, you have a critical role in helping MBIE's Science Board to identify proposals that have the greatest potential to deliver on the New Zealand Government's goals for the Endeavour Fund. Investment is made through two mechanisms – **Smart Ideas** and **Research Programmes**.

**The Smart Ideas** investment mechanism catalyses and rapidly tests promising, innovative research ideas with high potential for benefit to New Zealand, to enable refresh and diversity in the science portfolio. Applicants can request between \$0.4 million to \$1 million over the term of two or three years. In 2020, we expect to invest up to \$18 million per year in Smart Ideas contracts.

**The Research Programmes** investment mechanism supports ambitious, excellent, and well-defined research ideas which, collectively, have credible and high potential to positively transform New Zealand's future in areas of future value, growth or critical need. Applicants can request a minimum of \$0.5 million per year for a term of three, four or five years. In 2020, we expect to invest up to \$38.8 million per year in Research Programme contracts.

Please read this document in conjunction with the [Endeavour Fund Call for Proposals 2020 Investment Round](#).

These and other key documents supporting the 2020 investment round are available on the [Endeavour Fund application and assessment information](#) webpage.

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

**Email**            Assessment queries: [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz)  
Portal queries: [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

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

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# The Assessment Process

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You may be asked to assess proposals from one or both investment mechanisms. This will depend largely on the nature of the proposals received and how they align with your skill set.

The assessment process differs between the two investment mechanisms and these processes are outlined below.

## For Smart Ideas

### Phase One: Registration

- › Applicants register their interest before submitting a proposal. Registration is not assessed.

### Phase Two: Concepts

- › Applicants submit Concepts.
- › Concepts are assessed against the Excellence assessment criteria and, where relevant, the Vision Mātauranga policy.
- › The Science Board makes decisions on which Concepts progress to Full Proposals.
- › Successful Applicants are invited to submit Full Proposals.

### Phase Three: Full Proposals

- › Invited Applicants submit Full Proposals.
- › Independent Assessors review all proposals against:
  - The Excellence assessment criteria.
  - The Impact assessment criteria.
  - Where relevant, the Vision Mātauranga policy.
- › The Science Board makes its investment decisions.

## For Research Programmes

### Phase One: Registration

- › Applicants register their interest in submitting a proposal. Registration is not assessed.

### Phase Two: Full Proposal

- › Proposals are assessed against the Excellence assessment criteria and, where relevant, the Vision Mātauranga policy.
- › The Science Board decides which proposals progress for Impact assessment.
- › Successful proposals are assessed against the Impact assessment criteria and, where relevant, the Vision Mātauranga policy.
- › The Science Board makes its investment decisions.

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The assessment process does not cover eligibility.

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## Assessor Roles

There are two types of Assessors for the Endeavour Fund (Assessors and Lead Assessors). The following section outlines their key roles and responsibilities.

### Assessor

An Assessor's role is to review proposals submitted to the Endeavour Fund. Your key responsibilities are:

- › Declaring any conflicts of interest.
- › Reading and assessing assigned proposals.
- › Allocating scores that reflect your views (using a 7-point scoring system against our assessment criteria).
- › Recording your scores and supporting commentary, into MBIE's Investment Management System (IMS).
- › Adhering to MBIE's confidentiality and privacy policies.

### Lead Assessor

In addition to the responsibilities of an Assessor, Lead Assessors are also responsible for:

- › Writing assessment summaries for each proposal that reflect the range of comments and diversity of scores provided by the Assessors, and how it responds to MBIE's Vision Mātauranga policy.
- › If you have been assigned to assess Research Programmes proposals for Impact you will also provide Revised Scores and your rationale for those scores.

## Key Dates

|  | SMART IDEAS |                | RESEARCH PROGRAMMES  |
|--|-------------|----------------|--|
|  | CONCEPTS    | FULL PROPOSALS | FULL PROPOSALS   |
| Proposals assigned and assessment <b>starts</b>                                      | 21 Jan 2020 | 11 Jun 2020    | <i>for assessment of Excellence: 18 Mar 2020<br/>for assessment of Impact: 28 May 2020</i> |
| Assessment <b>ends</b> .<br>Assessments must be recorded in the IMS portal           | 05 Feb 2020 | 01 Jul 2020    | <i>for Excellence: 30 Mar 2020<br/>for Impact: 10 Jun 2020</i>                             |
| Lead assessment will have <b>started</b> *   | 17 Feb 2020 | 13 Jul 2020    | <i>for Excellence: 07 Apr 2020<br/>for Impact: 25 Jun 2020</i>                             |
| Lead assessment <b>ends</b> .<br>Lead assessments must be recorded in the IMS portal | 26 Feb 2020 | 22 Jul 2020    | <i>for Excellence: 21 Apr 2020<br/>for Impact: 06 Jul 2020</i>                             |
| Science Board decisions  | Apr 2020    | Sep 2020       | <i>progress to Impact assessment: May 2020<br/>Investment: Sep 2020</i>                    |
| Successful Applicants notified   | Apr 2020    | Sep 2020       | <i>Sep 2020</i>  |
| Contracts begin  | n/a         | 1 Oct 2020     | <i>1 Oct 2020</i>  |

\*Lead assessment will start as soon as the four individual assessments have been submitted.

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*All dates are New Zealand Time*

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## Time Commitment

We envisage your involvement in the assessment process to be as follows.

| APPROXIMATELY:   | TO:   |
|--|---|
| Half a day   | Read these guidelines and the supporting documents.   |
| 2-3 hours per proposal<br>(actual time depends on the proposal type ie Concepts or Full Proposals) | Read your assigned proposals, assign scores and enter those scores, with supporting commentary, into the IMS portal.                    |
| 1 hour per proposal<br>(Lead Assessors only)   | Record a summary of the individual Assessor comments and, for Research Programmes Impact Lead Assessors, a Revised Score (see page 54). |

## How and When Proposals are Assigned

Proposals are assigned to Assessors after aligning the proposal's fields of research with the Assessor's expertise, checking the Assessors availability and the absence of any potential conflicts of interest. Each proposal is assigned to four Assessors, one of which is designated the Lead Assessor.

MBIE will email you to confirm which proposals you are being asked to assess and this may be a combination of one or more of the following:

| INVESTMENT MECHANISM | PROPOSAL TYPE  | ASSESS FOR |        |
|----------------------|----------------|------------|--------|
|                      |                | EXCELLENCE | IMPACT |
| Smart Ideas          | Concepts       | Yes        | No     |
|                      | Full Proposals | Yes        | Yes    |
| Research Programmes  | Full Proposals | Yes        | Yes    |

| ASSIGNMENT DATES                                | SMART IDEAS |                | RESEARCH PROGRAMMES  |
|---|-------------|----------------|--|
|   | CONCEPTS    | FULL PROPOSALS | FULL PROPOSALS   |
| Proposals assigned and assessment <b>starts</b> | 21 Jan 2020 | 11 Jun 2020    | <i>for assessment of Excellence: 18 Mar 2020<br/>for assessment of Impact: 28 May 2020</i> |
| Lead assessment will have <b>started*</b>       | 17 Feb 2020 | 13 Jul 2020    | <i>For Excellence: 07 Apr 2020<br/>For Impact: 25 Jun 2020</i>                             |

\*Lead assessment will start as soon as the four individual assessments have been submitted.

You use MBIE's IMS portal to:

1. Log on to view your assigned proposals, identify and notify MBIE of any potential conflicts of interest, and then accept or decline accordingly.
2. Open (*download and/or print*) all assigned and accepted full proposals.

Refer to page 46 for further instructions on how to use 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 the following dates.**

| ASSIGNMENT DATES  | SMART IDEAS |                | RESEARCH PROGRAMMES  |
|---|-------------|----------------|--|
|   | CONCEPTS    | FULL PROPOSALS | FULL PROPOSALS   |
| Assessment <b>ends.</b><br>Assessments must be recorded in the IMS portal           | 05 Feb 2020 | 01 Jul 2020    | <i>for Excellence: 30 Mar 2020<br/>for Impact: 10 Jun 2020</i> |
| Lead assessment <b>ends.</b><br>Lead assessments must be recorded in the IMS portal | 26 Feb 2020 | 22 Jul 2020    | <i>for Excellence: 21 Apr 2020<br/>for Impact: 06 Jul 2020</i> |

Lead Assessors are sent an email alert when the individual assessments for each of their proposals have been completed and they are able to start their assessment summaries.

## Confidentiality and Privacy

To ensure confidentiality, as an Assessor you must:

- › Ensure the safekeeping of all proposals and related documents (*eg 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 content or assessment of any proposal with the Applicant or any other party. If an Applicant contacts you about a proposal:
  - direct them to MBIE ([Endeavour@mbie.govt.nz](mailto:Endeavour@mbie.govt.nz)), and
  - email MBIE with the details of your contact.
- › Not use any confidential information for any purpose other than assessment.

All Assessors must agree to adhere to MBIE's confidentiality and privacy policies before they can view their assigned proposals. This applies to all information provided by MBIE and collected in the IMS portal.

### Official Information Act 1982

MBIE is subject to the Official Information Act 1982 and therefore assessment information may be released, as required by the Act.

## Conflicts of Interest

MBIE follows a rigorous process to maintain the credibility of the investment process and to assure Applicants that their proposals are reasonably and fairly assessed.

Before starting your assessment, you **must** check your list of assigned proposals for any conflicts of interest and either accept or decline the assignments as appropriate (*see page 47 and 48 for how to do this*).

It is important to report a conflict of interest as soon as possible to ensure that assessment is not delayed.

## What is Considered a Conflict of Interest?

**Conflicts of interest may occur on two levels; direct and indirect.**

- › A **direct** conflict of interest would be deemed if you are:
  - directly involved with a proposal (*as a participant, manager, mentor, or partner*) or you have a close personal relationship with the Applicant, eg family members, or
  - a collaborator or in some other way involved with an Applicant's work programme.
- › An **indirect** conflict of interest would be deemed if you:
  - are employed by an organisation involved in a proposal but you are not part of the Applicant's work programme.
  - have a personal and/or professional relationship with one of the Applicants, eg an acquaintance.
  - have or had involvement with a proposal that is in direct competition with a proposal being assessed or where the impacts proposed by a proposal under discussion may compete with your personal business interests.

## 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, you **must** email MBIE at [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz) with the details for further discussion before accepting or declining the assignment.

## What the assessments are used for

### Investment Decisions

The Science Board makes the investment decisions in accordance with the Endeavour Fund 2020 Investment Round Gazette Notice, considering:

- › Independent Assessor reviews.
- › Portfolio approach.
- › Investment Targets in the Endeavour Fund Investment Plan 2019-2021, and MBIE's Vision Mātauranga policy.

### Feedback to applicants

The assessments are also used to provide feedback to applicants at the end of the round.

# Performing Assessments

Use the following procedure when assessing proposals. Remember, your assignment email(s) will confirm what you are being asked to assess, which may be a combination of one or more of the following:

| INVESTMENT MECHANISM | PROPOSAL TYPE  | ASSESS FOR |        |
|----------------------|----------------|------------|--------|
|                      |                | EXCELLENCE | IMPACT |
| Smart Ideas          | Concepts       | Yes        | No     |
|                      | Full Proposals | Yes        | Yes    |
| Research Programmes  | Full Proposals | Yes        | Yes    |

## The Assessment Steps

### 1. Read and understand the documents essential to the assessment process

Read and understand the:

- › Relevant scoring guide for Smart Ideas and Research Programmes (in this document). The scoring guides contain specific points to note for each assessment criterion to help ensure consistency in assessment.
- › [Gazette Notice](#) which sets out the Excellence and Impact assessment criteria, and the Endeavour Fund's general and specific policy objectives.
- › [Endeavour Fund Investment Plan 2019-2021](#) which details the Government's goals and priorities for investment through the Endeavour Fund.
- › [Vision Mātauranga policy](#) (see page 12 for details).

### 2. Accept (or Decline) assigned proposals

Accept your assigned proposals (or decline if you believe a direct conflict of interest exists) **within 24 hours of receiving your assignment**. Contact MBIE if you believe an indirect conflict of interest exists (see page 47 and 48 for how to do this).

### 3. Read assigned proposals (see page 49 for how to view and/or print).

### 4. Select an assessment score and record associated commentary

Only assess the information presented in the proposal. Applicants are expected to present all relevant information. If a proposal has obvious gaps, reflect this in your score and detail the significant issues in your comments.

As directed in your assignment, independently score each proposal using **either** the Excellence or Impact assessment criteria in the relevant assessment scoring guide for Smart Ideas and Research Programmes.

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

While certain sections of proposals specifically align with the assessment criteria, assess the proposal **as a whole** before finalising your assessment.

Record your assessment scores in the IMS portal (see page 49) and the reasons why you gave those scores. **Your comments should also identify, if applicable, the specific reasons for a deficiency or merit, if the scores are below 3 or above 5, respectively.**

Ensure that your comments are professional, honest, and accurate, and correlate with the scores and descriptions outlined in the scoring guides. Do not include names and be mindful that:

- › if requested, your comments may be released under the Official Information Act.
- › your comments form the basis of feedback to applicants.
- › word limits for comments apply; these are shown in each **Comment** field in the IMS portal.
- › if assessing Excellence, only comment on Excellence, if assessing Impact, only comment on Impact.

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

You will also be asked to rate:

- › the level of scientific or technical risk in the proposal, whether **Low, Medium** or **High**.
- › how closely your area(s) of expertise aligns with the proposal, whether **Aligned, Well aligned,** or **Very well aligned**.

Be wary of 'drift' in your scoring. It is common for scoring to change as Assessors gain experience with the assessment process.

## 5. Lead Assessors only

### View and summarise Assessor comments for assigned proposals

Record your summary for each assigned proposal, based on the individual Assessor comments and scores. Where there is a wide diversity of scores, comment on the reasons why.

**Do not include names or scores in your comments.**

Be mindful that if requested to do so, assessment comments may be released under the Official Information Act 1982 and that your comments form the basis of feedback to the applicants.

### Assessment of Research Programmes proposals for Impact only

In addition, Lead Assessors also provide **Revised Scores** (for both Benefit to New Zealand and Implementation Pathways) and a comment explaining your rationale.

The **Revised Scores** should reflect what you believe the proposal should receive, after considering the scores and comments from the other Assessors.

The comment explaining your rationale will be provided to the Science Board. This rationale is particularly important if one or both Revised Scores are different to the calculated medians of the individual Assessor scores.

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

**Note that MBIE will perform quality assurance checks on all assessments. The purpose of this is to ensure Assessors are delivering effective and high quality assessments. If MBIE has any questions with respect to your assessment(s), we will contact you.**

## Vision Mātauranga

Through the [Vision Mātauranga policy](#), we encourage appropriate and distinctive research arising from the interface between Māori knowledge and science, to deliver effective and innovative products, services and outcomes for New Zealand. This includes integrating the policy across government investments in research, and building the capability, capacity and networks of Māori and the research community to collaborate and carry out this work. The outcomes being sought through the policy appear in the Investment Signals section of the Endeavour Fund Investment Plan 2019-2021.

The Excellence and Impact assessment includes Vision Mātauranga where relevant; it is not a separate or additional assessment. When performing your assessment, consider if Vision Mātauranga is relevant.

If Vision Mātauranga is relevant, in terms of the positioning of the proposal and/or if there is explicit acknowledgement of Vision Mātauranga, consider:

- › When assessing **Excellence**, whether Vision Mātauranga has been incorporated in the design of the research, and the capability of the team and its connections to key Māori stakeholders?
- › When assessing **Impact**, the extent the proposal identifies potential benefits to Māori and New Zealand, and the extent to which the implementation pathway engages key Māori stakeholders and Māori knowledge in delivering these benefits?

During assessment, you are asked:

- › Whether Vision Mātauranga is relevant to the proposal.
- › Whether the Applicant recognises the relevance of Vision Mātauranga to the proposal.
- › If Vision Mātauranga is relevant, how well has the Applicant addressed this (**Very well, Moderately well** or **Not well**).

If there is divergence between your opinion on the relevance of Vision Mātauranga and the applicant's, you must give reasons for this. If not relevant, and this is consistent with the applicant's view, the only comment you need to make is 'Vision Mātauranga is not relevant to this proposal'.

# Excellence Assessment

## Points to Note

To assess **Excellence**, read and understand the points below to note and use the scoring guide on the following pages to help form your assessment and determine a score.

Consider **Excellence** in the context of:

- › **Research horizons:** Early stage research may pose higher scientific or technical risk than later stage research. Both approaches are valid.
- › **Areas of research:** Excellent research should be appropriate to the relevant discipline(s).

## Specific Points to Note for Science

|                        |   |
|------------------------|---|
| <b>Dissemination</b>   | <ul style="list-style-type: none"> <li>› Making the research results available for potential end (or next) users so that impact and benefits can be achieved.</li> <li>› May vary according to the situation and should not be confined to publications in peer reviewed scientific journals.</li> </ul>  |
| <b>Risk</b>            | <ul style="list-style-type: none"> <li>› Scientific and technical risk is the basis of a good proposal. This may include assumptions that are based on current knowledge and scientific principles; or the application of scientific techniques in an unproven or speculative way.</li> <li>› Technical risk may be associated with a new technology, which will need to be developed during the research.</li> </ul>   |
| <b>Risk management</b> | <ul style="list-style-type: none"> <li>› Risk managed through risk mitigation strategies and/or contingency plans, and residual risk is considered against the potential additional value.</li> <li>› Risk and additional value are considered together. However, risk and additional value can exist in many combinations, so the reference statements in the guide are only examples of where some combinations should sit in the scoring range. Assessors need to use their judgement in deciding where other combinations might more appropriately sit.</li> </ul>                                      |
| <b>Novelty</b>         | <ul style="list-style-type: none"> <li>› A new method or idea.</li> <li>› All or some elements of a proposal may be novel.</li> <li>› Novelty can range from having only minor impact to making ground-breaking advances.</li> </ul>  |
| <b>Innovation</b>      | <ul style="list-style-type: none"> <li>› Bringing in new methods or ideas.</li> <li>› Degrees of innovation range from minor innovations in existing processes/techniques to the implementation of completely new processes/techniques that significantly challenge the status quo.</li> <li>› Can include the application of existing processes or techniques in new or unexpected areas.</li> </ul>   |
| <b>Well positioned</b> | <p>The research:</p> <ul style="list-style-type: none"> <li>› takes account of existing knowledge and research, either by:           <ul style="list-style-type: none"> <li>– avoiding redundancy or overlap, or</li> <li>– using existing knowledge/research as a platform for achieving more significant advances in knowledge than would otherwise be the case.</li> </ul> </li> <li>› links with key related science activities (often funded separately) are described and are complementary or synergistic.</li> <li>› has international links that provide leverage and additional value.</li> </ul> |

## Specific Points to Note for Science, continued

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|                                 |   |
|---------------------------------|---|
| <b>A credible research plan</b> | Contains all of the expected elements in a way, which is scientifically and managerially competent and can be effectively implemented. Expected elements include: <ul style="list-style-type: none"><li>› the research methodology and methods,</li><li>› the research design and proposed outputs,</li><li>› a risk management and mitigation plan, and</li><li>› provision for access to and use of the facilities and equipment for carrying out the research.</li></ul> |
|---------------------------------|---|

---

## Specific Points to Note for Team

|                  |   |
|------------------|---|
| <b>Skill mix</b> | Consider whether the: <ul style="list-style-type: none"><li>› mix of skills is appropriate to the research.</li><li>› whole team has the level of experience and other attributes which give confidence in their ability to deliver the research.</li></ul> |
|------------------|---|

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## Excellence Assessment Scoring Guide Smart Ideas Concepts & Full Proposals, and Research Programmes

| EXCELLENCE ASSESSMENT  |   |
|--|---|
| <b>ASSESSMENT CRITERIA</b>   | <p><b>Science</b></p> <p><i>Smart Ideas 50%, Research Programmes 25%</i></p> <p>Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> <li>1. progress and disseminate new knowledge;</li> <li>2. have a well-designed research plan and credible approach to risk management;</li> <li>3. are ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches; and</li> <li>4. are well-positioned in the domestic and international research context.</li> </ol> <p><b>Team</b></p> <p><i>Smart Ideas 15%, Research Programmes 25%</i></p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p>   |
| ASSESSMENT SCORING GUIDE   |   |
| <b>1</b><br>(Low quality)<br><br>Inadequate<br>Negligible<br>No relevant content<br>or connections<br>None/not | <p><b>Progress and disseminate new knowledge</b></p> <ul style="list-style-type: none"> <li>&gt; Takes no account of related research or existing information.</li> <li>&gt; No new knowledge created and no consideration has been given to disseminating the research results.</li> </ul> <p><b>Have a well-designed research plan and credible approach to risk management</b></p> <ul style="list-style-type: none"> <li>&gt; Inadequate and does not contain any of the expected elements.</li> <li>&gt; Missing appropriate scientific and technical risk management.</li> <li>&gt; The research is not fit for purpose.</li> </ul> <p><b>Are ambitious in terms of scientific risk, technical risk, novelty or innovative approaches</b></p> <ul style="list-style-type: none"> <li>&gt; Scientific and/or technical risk is negligible or low, or</li> <li>&gt; The proposal is not innovative.</li> </ul> <p><b>Are well positioned in the domestic and international research context:</b></p> <ul style="list-style-type: none"> <li>&gt; Ignores major aligned or related research/information.</li> <li>&gt; Links to the relevant research landscape are missing.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The research does not unlock any Māori innovation.</li> <li>&gt; Vision Mātauranga elements are negligible or not present in the research plan design.</li> </ul> |
|  | <p><b>Skills mix</b></p> <ul style="list-style-type: none"> <li>&gt; Inadequate skills, knowledge and resources needed to:                             <ul style="list-style-type: none"> <li>- deliver the research, science or technology, or related activities.</li> <li>- manage risk.</li> </ul> </li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Inadequate capability to engage with Māori stakeholders or their interests.</li> <li>&gt; Negligible track record with Māori relevant to the science.</li> </ul>  |

| EXCELLENCE ASSESSMENT  |  |  |
|--|--|--|
| ASSESSMENT CRITERIA  | Science  | Team   |
|  | <p><b>Weightings:</b><br/>Smart Ideas 50%, Research Programmes 25%</p> <p>Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> <li>1. progress and disseminate new knowledge;</li> <li>2. have a well-designed research plan and credible approach to risk management;</li> <li>3. are ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches; and</li> <li>4. are well-positioned in the domestic and international research context.</li> </ol>   | <p><b>Weightings:</b><br/>Smart Ideas 15%, Research Programmes 25%</p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p>  |
| ASSESSMENT SCORING GUIDE   |  |  |
| <p><b>2</b></p> <p>Doubtful<br/>Insufficient<br/>Lacking<br/>Little<br/>Low<br/>Poor credibility</p> | <p><b>Progress and disseminate new knowledge:</b></p> <ul style="list-style-type: none"> <li>&gt; New knowledge created only amplifies or further explains what is already known.</li> <li>&gt; The dissemination method(s) are not well matched to the type of knowledge involved.</li> </ul> <p><b>Have a well-designed research plan and credible approach to risk management:</b></p> <ul style="list-style-type: none"> <li>&gt; Contains some expected elements but the information is insufficient for the plan to be plausible.</li> <li>&gt; Poor scientific or technical risk management.</li> <li>&gt; The research is fit for purpose in very few respects.</li> </ul> <p><b>Are ambitious in terms of scientific risk, technical risk, novelty or innovative approaches:</b></p> <ul style="list-style-type: none"> <li>&gt; Scientific and/or technical risk is low and so is the additional value that could be achieved, or</li> <li>&gt; The proposal has little innovation.</li> </ul> <p><b>Are well positioned in the domestic and international research context:</b></p> <ul style="list-style-type: none"> <li>&gt; Little recognition of aligned or related major research.</li> <li>&gt; Inadequate links to the relevant research landscape.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; It is doubtful that the Vision Mātauranga elements in the research design are sufficient.</li> <li>&gt; Little relevant innovation value to Māori.</li> </ul> | <p><b>Skills mix</b></p> <ul style="list-style-type: none"> <li>&gt; Lacks most of the skills, knowledge and resources needed to:                             <ul style="list-style-type: none"> <li>- deliver the research, science or technology, or related activities.</li> <li>- manage risk.</li> </ul> </li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Lacks the level of capability or capacity required to navigate and engage with Māori stakeholders and their interests for the science.</li> <li>&gt; Little or poor track record with Māori relevant to the science.</li> </ul> |

| EXCELLENCE ASSESSMENT           |  |
|---------------------------------|--|
| <b>ASSESSMENT CRITERIA</b>      | <p><b>Science</b></p> <p>Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> <li>1. progress and disseminate new knowledge;</li> <li>2. have a well-designed research plan and credible approach to risk management;</li> <li>3. are ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches; and</li> <li>4. are well-positioned in the domestic and international research context.</li> </ol> <p><b>Team</b></p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p> <p style="text-align: right;"><i>Weightings: Smart Ideas 50%, Research Programmes 25%</i></p>  |
| <b>ASSESSMENT SCORING GUIDE</b> | <p><b>Team</b></p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p> <p style="text-align: right;"><i>Weightings: Smart Ideas 15%, Research Programmes 25%</i></p>  |
| <b>3</b>                        | <p><b>Progress and disseminate new knowledge</b></p> <ul style="list-style-type: none"> <li>&gt; The new knowledge created is incremental in character, ie it is no more than a logical extension of what is already known.</li> <li>&gt; The dissemination method(s) are workable but unlikely to be very effective.</li> </ul> <p><b>Have a well-designed research plan and credible approach to risk management</b></p> <ul style="list-style-type: none"> <li>&gt; Contains most of the expected elements but the details or some of the elements are limited.</li> <li>&gt; Significant gaps in scientific and technical risk management.</li> <li>&gt; The research is fit for purpose in some respects but the connection to purpose is not demonstrated well.</li> </ul> <p><b>Are ambitious in terms of scientific risk, technical risk, novelty or innovative approaches</b></p> <ul style="list-style-type: none"> <li>&gt; Scientific and/or technical risk is low but has additional benefit that could be achieved, or</li> <li>&gt; Contains some elements of innovation but no completely new approaches.</li> </ul> <p><b>Are well positioned in the domestic and international research context</b></p> <ul style="list-style-type: none"> <li>&gt; Some recognition of related research or existing information, but this has only partly influenced the research design.</li> <li>&gt; Significant gaps in links to the relevant research landscape.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Limited research that will unlock Māori innovation through the science.</li> <li>&gt; There are gaps in key Vision Mātauranga elements in the research plan design which suggests low effectiveness to deliver new knowledge or intellectual property relevant to Māori.</li> </ul> <p><b>Skills mix</b></p> <ul style="list-style-type: none"> <li>&gt; Some significant gaps in the skills, knowledge and resources needed to:             <ul style="list-style-type: none"> <li>– deliver the research, science or technology, or related activities.</li> <li>– manage risk.</li> </ul> </li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Some significant gaps in the capability or capacity required to navigate and engage with Māori stakeholders and their interests for the science.</li> <li>&gt; A patchy track record with Māori relevant to the science.</li> </ul> |

| EXCELLENCE ASSESSMENT  |  |
|--|--|
| <b>ASSESSMENT CRITERIA</b>   | <p><b>Science</b></p> <p><i>Weightings: Smart Ideas 50%, Research Programmes 25%</i></p> <p>Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> <li>1. progress and disseminate new knowledge;</li> <li>2. have a well-designed research plan and credible approach to risk management;</li> <li>3. are ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches; and</li> <li>4. are well-positioned in the domestic and international research context.</li> </ol> <p><b>Team</b></p> <p><i>Weightings: Smart Ideas 15%, Research Programmes 25%</i></p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p>  |
| ASSESSMENT SCORING GUIDE   |  |
| <p><b>4</b></p> <p>Largely appropriate<br/>Largely satisfactory<br/>but with gaps or<br/>deficiencies<br/>Moderate<br/>Partly<br/>Reasonable<br/>Significant in some<br/>aspects</p> | <p><b>Progress and disseminate new knowledge</b></p> <ul style="list-style-type: none"> <li>&gt; The knowledge created is new but largely an extension of existing knowledge rather than breaking significant new ground.</li> <li>&gt; The dissemination method(s) are appropriate or likely to be moderately effective.</li> </ul> <p><b>Have a well-designed research plan and credible approach to risk management</b></p> <ul style="list-style-type: none"> <li>&gt; Contains all of the expected elements but in some cases the level of detail is not of a satisfactory standard.</li> <li>&gt; Adequate scientific or technical risk management.</li> <li>&gt; The research is largely fit for purpose.</li> </ul> <p><b>Are ambitious in terms of scientific risk, technical risk, novelty or innovative approaches</b></p> <ul style="list-style-type: none"> <li>&gt; Moderate scientific and/or technical risk largely counterbalanced by the additional benefit that could be achieved, or</li> <li>&gt; Significant innovation in the proposal based more on new applications of existing approaches than new approaches.</li> </ul> <p><b>Are well positioned in the domestic and international research context</b></p> <ul style="list-style-type: none"> <li>&gt; Reasonable recognition of related research and existing knowledge, leveraged with some gaps in research design.</li> <li>&gt; Adequate links to the relevant research landscape.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Reasonable potential for the research to unlock Māori innovation through the science.</li> <li>&gt; Largely appropriate Vision Mātauranga elements appear in the research plan design with some gaps or deficiencies including distinct risks identification and mitigation.</li> <li>&gt; Existing relevant Māori knowledge has been considered.</li> <li>&gt; New knowledge and intellectual property of value to Māori interests is delivered.</li> </ul> <p><b>Skills mix:</b></p> <ul style="list-style-type: none"> <li>&gt; Reasonable mix of skills, knowledge and resources needed to:             <ul style="list-style-type: none"> <li>- deliver the research, science or technology, or related activities.</li> <li>- manage risk.</li> </ul> </li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Moderate capability and capacity for reasonable engagement with core Māori stakeholders for the science; there are some gaps/deficiencies.</li> <li>&gt; A largely satisfactory track record with Māori relevant to the science.</li> </ul> |

| EXCELLENCE ASSESSMENT           |  |
|---------------------------------|--|
| <b>ASSESSMENT CRITERIA</b>      | <p><b>Science</b></p> <p>Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> <li>1. progress and disseminate new knowledge;</li> <li>2. have a well-designed research plan and credible approach to risk management;</li> <li>3. are ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches; and</li> <li>4. are well-positioned in the domestic and international research context.</li> </ol> <p><b>Team</b></p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p> <p style="text-align: right;"><i>Weightings: Smart Ideas 50%, Research Programmes 25%</i></p> <p style="text-align: right;"><i>Weightings: Smart Ideas 15%, Research Programmes 25%</i></p>  |
| <b>ASSESSMENT SCORING GUIDE</b> |  |
| <b>5</b>                        | <p><b>Progress and disseminate new knowledge</b></p> <ul style="list-style-type: none"> <li>&gt; The new knowledge created breaks new ground.</li> <li>&gt; The dissemination method(s) are appropriate or likely to be effective.</li> </ul> <p><b>Have a well-designed research plan and credible approach to risk management</b></p> <ul style="list-style-type: none"> <li>&gt; Contains all of the expected elements, meets expected standards of good practice and should be delivered as stated.</li> <li>&gt; Appropriate and credible scientific or technical risk management.</li> <li>&gt; The research is fit for purpose in most aspects.</li> </ul> <p><b>Are ambitious in terms of scientific risk, technical risk, novelty or innovative approaches</b></p> <ul style="list-style-type: none"> <li>&gt; Moderate scientific and/or technical risk counterbalanced by additional benefit, or</li> <li>&gt; Is significantly innovative and contains new approaches, ie they have not been proposed before.</li> </ul> <p><b>Are well positioned in the domestic and international research context</b></p> <ul style="list-style-type: none"> <li>&gt; Comprehensive recognition of related research and existing knowledge competently leveraged in research design.</li> <li>&gt; Well demonstrated links to the relevant research landscape.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Good potential for the research approach to unlock Māori innovation through the science.</li> <li>&gt; Credible Vision Mātauranga elements support research plan design.</li> <li>&gt; Existing relevant Māori knowledge has been incorporated.</li> <li>&gt; Distinct risks and sensitivities are well mapped and mitigated.</li> <li>&gt; New knowledge and intellectual property of strategic value to Māori interests is delivered.</li> <li>&gt; Some likelihood of attracting international attention.</li> </ul> <p><b>Skills mix</b></p> <ul style="list-style-type: none"> <li>&gt; Appropriate mix of skills, knowledge and resources needed to:             <ul style="list-style-type: none"> <li>- deliver the research, science or technology, or related activities.</li> <li>- manage risk.</li> </ul> </li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Moderate to high level of capability and capacity to navigate and engage effectively with Māori stakeholders, networks, interest groups in various settings relevant to the science.</li> <li>&gt; A strong track record of engaging effectively with Māori relevant to the science.</li> </ul> |

| EXCELLENCE ASSESSMENT   |   |  |
|---|---|--|
| ASSESSMENT CRITERIA   | Science   | Team   |
|   | <p><b>Weightings:</b><br/>Smart Ideas 50%, Research Programmes 25%</p> <p>Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> <li>1. progress and disseminate new knowledge;</li> <li>2. have a well-designed research plan and credible approach to risk management;</li> <li>3. are ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches; and</li> <li>4. are well-positioned in the domestic and international research context.</li> </ol>  | <p><b>Weightings:</b><br/>Smart Ideas 15%, Research Programmes 25%</p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p>  |
| ASSESSMENT SCORING GUIDE  |   |  |
| <p><b>6</b></p> <p>Comprehensive<br/>Exceeds best practice<br/>Insightful<br/>Markedly<br/>Significant<br/>Very credible<br/>Very good/effective<br/>Very high/ highly<br/>Very large</p> | <p><b>Progress and disseminate new knowledge</b></p> <ul style="list-style-type: none"> <li>&gt; The new knowledge created is potentially significantly beyond the current state of research in the field.</li> <li>&gt; The dissemination method(s) are very effective or likely to be very effective.</li> </ul> <p><b>Have a well-designed research plan and credible approach to risk management</b></p> <ul style="list-style-type: none"> <li>&gt; Contains all expected elements at a level of competence and detail which exceeds expected standards of good practice, and gives confidence that the plan will be delivered as stated.</li> <li>&gt; Scientific or technical risk management is likely to be effective.</li> <li>&gt; The research is fully fit for purpose.</li> </ul> <p><b>Are ambitious in terms of scientific risk, technical risk, novelty or innovative approaches</b></p> <ul style="list-style-type: none"> <li>&gt; High Scientific and/or technical risk counterbalanced by the additional benefit that could be achieved, or</li> <li>&gt; Highly innovative with markedly new ideas and/or approaches likely to attract attention from other researchers and potential end users.</li> </ul> <p><b>Are well positioned in the domestic and international research context</b></p> <ul style="list-style-type: none"> <li>&gt; Comprehensive and insightful recognition of related research and existing information and this is extremely well leveraged in research design.</li> <li>&gt; Comprehensive links to the relevant research landscape.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Very good potential for the research to unlock Māori innovation through the science.</li> <li>&gt; Very credible and comprehensive Vision Mātauranga elements support and enhance the research plan.</li> <li>&gt; Existing relevant Māori knowledge has been fully incorporated and helped shape the research.</li> <li>&gt; Distinct risks and sensitivities are very well mapped and mitigated.</li> <li>&gt; New knowledge and intellectual property of significant strategic value to Māori interests is delivered.</li> <li>&gt; Very likely to attract international attention.</li> </ul> | <p><b>Skills mix</b></p> <ul style="list-style-type: none"> <li>&gt; Comprehensive mix of skills, knowledge and resources needed to:                             <ul style="list-style-type: none"> <li>- deliver the research, science or technology, or related activities.</li> <li>- manage risk.</li> </ul> </li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; High level of capability and capacity to navigate Māori stakeholders, networks, interest groups and their expectations relevant to the science.</li> <li>&gt; Very strong track record of high value engagement with Māori relevant to the science.</li> </ul> |

| EXCELLENCE ASSESSMENT   |  |
|---|--|
| <b>ASSESSMENT CRITERIA</b>  | <p><b>Science</b></p> <p>Research should be well-designed, involve risk and/or novelty, and leverage additional value from wider research. Assessment must have particular regard to whether the proposed research, science or technology or related activities:</p> <ol style="list-style-type: none"> <li>1. progress and disseminate new knowledge;</li> <li>2. have a well-designed research plan and credible approach to risk management;</li> <li>3. are ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches; and</li> <li>4. are well-positioned in the domestic and international research context.</li> </ol>  |
|   | <p><b>Team</b></p> <p>The proposed team should have the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities, and to manage risk.</p>  |
|   | <p><b>Weightings:</b></p> <p><i>Smart Ideas 50%, Research Programmes 25%</i></p>   |
|   | <p><b>Weightings:</b></p> <p><i>Smart Ideas 15%, Research Programmes 25%</i></p>   |
| ASSESSMENT SCORING GUIDE  |  |
| <b>7</b>  | <p><b>Progress and disseminate new knowledge</b></p> <ul style="list-style-type: none"> <li>&gt; The new knowledge created is potentially of international significance and likely to attract interest accordingly.</li> <li>&gt; The dissemination method(s) are wholly appropriate or likely to be extremely effective.</li> <li>&gt; Have a well-designed research plan and credible approach to risk management</li> <li>&gt; Contains all the expected elements, the approach and detail is exemplary and gives high confidence that the research will be delivered excellently and as planned.</li> <li>&gt; Scientific or technical risk management is very likely to be effective.</li> <li>&gt; The research is fully fit for purpose.</li> </ul> <p><b>Are ambitious in terms of scientific risk, technical risk, novelty or innovative approaches</b></p> <ul style="list-style-type: none"> <li>&gt; High scientific and/or technical risk substantially exceeded by the additional benefit that could be achieved, or</li> <li>&gt; Outstandingly innovative with new ground breaking approaches likely to attract international attention.</li> </ul> <p><b>Are well positioned in the domestic and international research context</b></p> <ul style="list-style-type: none"> <li>&gt; Outstanding recognition of related research and existing information.</li> <li>&gt; Research design takes full advantage of the opportunities for leverage.</li> <li>&gt; Outstanding links to the relevant research landscape.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The best potential for the research to unlock Māori innovation relevant to the science.</li> <li>&gt; Wholly credible Vision Mātauranga elements are fundamental to the research plan design to an exemplary standard.</li> <li>&gt; Existing relevant Māori knowledge central to the research.</li> <li>&gt; Very well mapped and mitigated risks and sensitivities.</li> <li>&gt; New knowledge and intellectual property of very significant strategic value to Māori interests is delivered on a large scale.</li> <li>&gt; Extremely likely to attract international attention.</li> </ul> |
| (High quality)<br>Exceeds best practice standards<br>Excellent<br>Exemplary<br>Internationally significant<br>Outstanding<br>Very high<br>Very/extremely large<br>Wholly appropriate<br>Wholly credible | <p><b>Skills mix</b></p> <ul style="list-style-type: none"> <li>&gt; Exemplary mix of skills and knowledge, and excellent resources needed to:                             <ul style="list-style-type: none"> <li>- deliver the proposed research, science or technology, or related activities.</li> <li>- manage risk.</li> </ul> </li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Outstanding capability and capacity to expertly navigate significant and diverse Māori stakeholders, networks, interest groups and their expectations of the science.</li> <li>&gt; An extremely strong track record of high value engagement with Māori relevant to the science.</li> </ul>  |

# Impact Assessment

## Points to Note

To assess impact, read and understand the points below to note and use the scoring guide on the following pages to help form your assessment and determine a score.

Please note that there are separate scoring grids for **Smart Ideas Full Proposals** (pages 25-31), **Research Programmes – Protect and add value** (pages 32-38), and **Research Programmes – Transform** (pages 39-45).

Consider **Impact** in the context of the breadth/extent of the proposed benefits, which may include aspects that go beyond the direct benefits associated with the output of the research. These can include:

- › Benefits across multiple sectors
- › Faster uptake of results in multiple areas
- › Improved state of the environment
- › Potential to scale up regional initiatives to nation-wide implementation
- › Consistency of standards or approaches for regulators
- › Improved social well-being
- › Better use of resources
- › Preservation or enhancement of cultural heritage and values
- › More efficient processes
- › Upskilling industry
- › Support for emerging new sectors
- › Creation of research platform which has additional utility for new users
- › Job creation eg via new start-ups
- › Development of a cluster of businesses
- › Multinational business attraction to or retention in New Zealand
- › Protecting existing markets, or impact on New Zealand’s reputation
- › Diversification of the economy.

## Specific Points to Note for Benefit to New Zealand

|               |   |
|---------------|---|
| <b>Scale</b>  | <p>Size expressed in a way which sensibly reflects the end use area. For example:</p> <ul style="list-style-type: none"> <li>› an economic development project may express scale in financial terms or degree of penetration of markets.</li> <li>› social and environmental projects may use the level of impact on or significance for, reducing environmental effects, resolving social issues, and/or developing more effective policies, etc.</li> </ul> <p>In assessing estimates of scale, apply the principle of additionality:</p> <ul style="list-style-type: none"> <li>› value over and above that which would be expected to occur anyway through routine research investment by existing, scientifically competent businesses or user organisations.</li> <li>› value which exceeds the cost of doing the research.</li> </ul>                                |
| <b>Extent</b> | <p>The coverage of the benefits, ie irrespective of scale, whether benefits are concentrated in a narrow area (<i>eg individual organisations</i>) or are of widespread potential impact. Given a particular scale of impact, score more highly proposals of widespread coverage than those of narrow impact.</p> <p>Consider the extent to which proposals will enable:</p> <ul style="list-style-type: none"> <li>› potential impact for New Zealand</li> <li>› more investment in research with higher (impact)</li> <li>› risk and longer term horizons to impact (consider impact risk in the research separately from scientific/technical risk which is included in assessing Excellence)</li> <li>› better leveraging of wider existing investment and knowledge in New Zealand and overseas</li> <li>› greater effect to be given to Vision Mātauranga.</li> </ul> |

## Specific Points to Note for Implementation Pathway(s)

### Credible implementation pathway

Sufficient end or next-user information to confirm that the analysis takes account of the characteristics of the area in which it will be used and is not simply a generic description. There needs to be enough detail so that pathways can be traced, and the role of each participant/end user is clear.

The implementation pathway is expected to be appropriate to the state of the sector or the stage of the research, eg if the research is:

- › At a later stage of development, a detailed description of pathway towards implementation is expected as is more end-user involvement.
- › At an earlier stage of development, next users would be more relevant, and a line of sight towards implementation should be visible, but not to the same extent as with more applied research.

In both cases, there should be some indication that pathways have been given serious thought and that the implementation is not limited to a 'one size fits all' approach. The impact delivery plan needs to contain the information referred to above. The information should be authoritative (*derived from or built on credible and reliable sources*), set out in a logical pattern and supported by good quality analysis and explanation. This is particularly important for Research Programmes proposals submitted under the 'Transform' impact category.

### Strength of the relationships

The provision of co-funding in some cases may reflect the level of end user or stakeholder commitment. In others co-funding may not be a relevant factor (*co-funding is not a requirement for proposals*).

Measure against a range of parameters which include the:

- › length of time over which the relationship has been developed
- › quality of the relationship (eg deep seated or superficial)
- › level of commitment of the stakeholders/end users/beneficiaries. To some extent, the level of commitment can be gauged from:
  - the level of user-involvement in steering the research (eg via an advisory group),
  - commitment either to specific actions or to providing various types of assistance.

Proposals submitted in the **Transform** category should meet the following:

- › Immediate Impact: the new, or changed, technology, process, practice, business model or policy, that is enabled by the research, a radical change and/or a leap in performance versus the status quo; and
- › Ultimate Impact: the research ultimately leads to a transformational change within the New Zealand economy, society or environment by, for example, creating or disrupting economic activities, creating a new sustainable resource use or eliminating environmental damage, or changing the character of risks and opportunities faced by individuals and society

Proposals that do not meet both criteria above should be named under the “Protect and add value” category.

For the avoidance of doubt, the focus of assessment for proposals in the “Transform” category is on the nature rather than the size of the impact. Evidence of a large impact will not be taken as conclusive evidence of a transformational impact.

### Specific Points to Note for Implementation Pathway(s), Research Programmes only

|  |  |
|--|--|
| <p><b>Relevant</b></p>                 | <p>The end users need to credibly link to the implementation of the projected impacts.</p> <p>For proposals submitted under the Protect and add value impact category, if there is no relevant link, the strength of the relationship is irrelevant and the score should be marked down accordingly.</p> <p>For proposals submitted under the Transform impact category, in a new industry with no existing end users, then the envisioned end users should be described and what types of relationships would need to be developed.</p>                                       |
| <p><b>Team impact track record</b></p> | <p>Where the applicant describes the mix of complementary skills and experience within the team, relevant to achieving impact. Includes team members experience in applying research findings commercially or non-commercially leading to economic, social and environmental impact. It builds on the information provided in the CVs and could include details of ‘spin-off’ companies, licensing intellectual property, applications of knowledge in policy, social to environmental domains, development and commercialisation of software and technical products, etc.</p> |

# Impact Assessment Scoring Guide Smart Ideas Full Proposals

| IMPACT ASSESSMENT – SMART IDEAS FULL PROPOSALS  |  |  |
|---|--|--|
| ASSESSMENT CRITERIA   | BENEFIT TO NEW ZEALAND   | IMPLEMENTATION PATHWAY(S)  |
|   | <p><i>Weighted 25%</i></p> <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><i>Weighted 10%</i></p> <p>The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and which may be uncertain in nature.</p>  |
| ASSESSMENT SCORING GUIDE  |  |  |
| <p><b>1</b></p> <p>(Low quality)</p> <p>Implausible</p> <p>Negligible</p> <p>Not credible</p> <p>Not present</p> <p>Not relevant</p> <p>Unlikely</p> <p>Unreliable</p> <p>Very poor</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Potential direct benefits are negligible and/or not credible and unlikely to be widely distributed or of no specific impact to more than one area of strategic importance.</li> <li>They may have negligible impacts upon a large sector or upon a sector with negligible potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Not relevant and of negligible potential significance to one or more areas of strategic importance to New Zealand.</li> <li>Negligible indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research have no relevance to Māori.</li> <li>There is no clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued</li> <li>No or negligible new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>No credible implementation pathways.</li> <li>No supporting impact plan.</li> <li>Not limited to a single firm or end user.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>No credible engagement with Māori.</li> <li>Vision Mātauranga is not present.</li> </ul> |

| IMPACT ASSESSMENT – SMART IDEAS FULL PROPOSALS   |   |   |
|--|---|---|
| ASSESSMENT CRITERIA  | BENEFIT TO NEW ZEALAND  | IMPLEMENTATION PATHWAY(S)   |
|  | <p><i>Weighted 25%</i></p> <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand's economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>   | <p><i>Weighted 10%</i></p> <p>The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and which may be uncertain in nature.</p>   |
| ASSESSMENT SCORING GUIDE   |   |   |
| <p><b>2</b></p> <p>Insufficient<br/>Little<br/>Minor<br/>Narrow<br/>Not significant<br/>Poor<br/>Unconvincing<br/>Unsatisfactory<br/>Very limited<br/>Very low</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Potential direct benefits are very low, and may be narrowly distributed or of very limited specific impact to more than one area of strategic importance.)</li> <li>They may have very limited impacts upon a large sector or upon a sector with unconvincing potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Very limited relevance and little significance to one or more areas of strategic importance to New Zealand.</li> <li>Poor indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research have little relevance to Māori.</li> <li>There is very limited clarity as to whether if any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.</li> <li>Very limited new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>The supporting information is very limited and largely unsatisfactory.</li> <li>Likely to be limited to a single firm or end user.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Very limited, insufficient arrangements for engagement with Māori stakeholders.</li> </ul> |

| IMPACT ASSESSMENT – SMART IDEAS FULL PROPOSALS |   |   |
|--|---|---|
| <b>ASSESSMENT CRITERIA</b>                     | <p><b>BENEFIT TO NEW ZEALAND</b></p> <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>   | <p><b>IMPLEMENTATION PATHWAY(S)</b>      <i>Weighted 10%</i></p> <p>The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and which may be uncertain in nature.</p>   |
| <b>ASSESSMENT SCORING GUIDE</b>                |   |   |
| <b>3</b>                                       | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Potential direct benefits are low, and may not be widely distributed or of limited specific impact to more than one area of strategic importance.</li> <li>They may have some impacts upon a large sector or upon a sector with limited potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Some relevance and limited significance to one or more areas of strategic importance to New Zealand.</li> <li>Low indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research have low to moderate relevance to Māori.</li> <li>There is limited clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.</li> <li>Limited new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>Are of limited credibility.</li> <li>The supporting information is limited and not very convincing. &gt; Not limited to a single firm or end user.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Some significant gaps in arrangements for engagement with Māori stakeholders.</li> <li>The Vision Mātauranga related aspects of the pathway appear somewhat inadequate.</li> </ul> |

| IMPACT ASSESSMENT – SMART IDEAS FULL PROPOSALS                     |  |   |
|--|--|---|
| ASSESSMENT CRITERIA  | BENEFIT TO NEW ZEALAND   | IMPLEMENTATION PATHWAY(S)   |
|  | <p><i>Weighted 25%</i></p> <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand's economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><i>Weighted 10%</i></p> <p>The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and which may be uncertain in nature.</p>   |
| ASSESSMENT SCORING GUIDE   |  |   |
| <p><b>4</b></p> <p>Moderate<br/>Modest<br/>Reasonable<br/>Some</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Some direct benefits are of moderate value, and may be reasonably distributed or of some specific impact to more than one area of strategic importance.</li> <li>They may have some impacts upon a large sector or upon a sector with modest potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Moderately relevant and some potential significance to one or more areas of strategic importance to New Zealand.</li> <li>Modest indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research are moderately relevant to Māori, achieving some, reasonable, or modest economic and/or social and/or environmental benefits.</li> <li>Māori contributions are valued to some degree and have some involvement in the delivery of benefits.</li> <li>Some new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>Partially credible.</li> <li>Has gaps in the supporting information that leaves key questions unanswered.</li> <li>Not limited to a single firm or end user.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Satisfactory arrangements for engagement with obvious Māori stakeholders.</li> <li>Some distinct risks and sensitivity management is in place.</li> <li>Satisfactory Māori participation in the research is evident.</li> <li>Obvious relevant tikanga (customs and traditions) of Māori has been satisfactorily gauged and described.</li> <li>The IP agreements in place respond to any indigenous knowledge management issues/ requirements if raised.</li> </ul> |

| IMPACT ASSESSMENT – SMART IDEAS FULL PROPOSALS  |   |   |
|---|---|---|
| ASSESSMENT CRITERIA   | BENEFIT TO NEW ZEALAND  | IMPLEMENTATION PATHWAY(S)   |
|   | <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><i>Weighted 10%</i></p> <p>The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and which may be uncertain in nature.</p>   |
| ASSESSMENT SCORING GUIDE  |   |   |
| <p><b>5</b></p> <p>Appropriate<br/>Credible<br/>Good confidence<br/>Large<br/>Relevant<br/>Significant<br/>Sizable<br/>Substantial<br/>Well explained</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Potential direct benefits are large, numerous, of high value, and may be widely distributed or of specific impact to more than one areas of strategic importance.</li> <li>They may have significant impacts upon a large sector or upon a sector with marked potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Relevant and substantial potential significance to one or more areas of strategic importance to New Zealand.</li> <li>Substantial indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research are relevant to Māori, achieving large, significant, or specific economic and/or social and/or environmental benefits.</li> <li>Māori contributions are valued and are central to the delivery of benefits.</li> <li>Significant new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>Credible, fit for purpose.</li> <li>Indicative supporting information is satisfactory in scope and competence.</li> <li>Not limited to a single firm or end user.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Informed by comprehensive engagement with key Māori stakeholders who are participating in, and contributions to, the research and co-development of the proposal.</li> <li>Distinct risks and sensitivities are well mapped and managed.</li> <li>The role of (customs and traditions) has been identified.</li> <li>Credible IP agreements are in place and respond to identified indigenous knowledge management requirements.</li> </ul> |

| IMPACT ASSESSMENT – SMART IDEAS FULL PROPOSALS   |  |   |
|--|--|---|
| ASSESSMENT CRITERIA  | BENEFIT TO NEW ZEALAND   | IMPLEMENTATION PATHWAY(S)   |
|  | <p><i>Weighted 25%</i></p> <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand's economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><i>Weighted 10%</i></p> <p>The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and which may be uncertain in nature.</p>   |
| ASSESSMENT SCORING GUIDE   |  |   |
| <p><b>6</b></p> <p>Comprehensive<br/>Credible<br/>Entirely<br/>Extensive<br/>High confidence<br/>Relevant<br/>Very large<br/>Very substantial<br/>Well</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Potential direct benefits are of very large, substantial, of high value, and may be very widely distributed or of specific impact to many areas of strategic importance.</li> <li>They may have very substantial impacts able to be delivered for a large sector or a sector with marked extensive potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Very relevant and very substantial potential significance to one or more areas of strategic importance to New Zealand.</li> <li>Very substantial indirect and additional value is generated by the research.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research are very relevant to Māori, achieving very large, very significant, or specific and highly valued economic and/or social and/or environmental benefits.</li> <li>Māori contributions are strongly valued and are very central to the delivery of benefits.</li> <li>Very substantial new knowledge or intellectual property for Māori.</li> <li>Benefits or knowledge gained will be scaled up or transferred to other locations in New Zealand, respectively.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>Of a high standard, very credible and fit for purpose.</li> <li>The supporting information is credible in scope and competence.</li> <li>Not limited to a single firm or end user.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Informed by very credible engagement with diverse Māori stakeholders which results in meaningful Māori participation in, and contributions to, the research and co-development of the proposal.</li> <li>Distinct risks and sensitivities are effectively mapped and managed.</li> <li>Appropriate tikanga (customs and traditions) has been identified and responsibilities allocated.</li> <li>IP agreements align strongly to indigenous best practice knowledge management.</li> </ul> |

| IMPACT ASSESSMENT – SMART IDEAS FULL PROPOSALS  |   |   |
|---|---|---|
| ASSESSMENT CRITERIA   | BENEFIT TO NEW ZEALAND  | IMPLEMENTATION PATHWAY(S)   |
|   | <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand's economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p>The credibility of indicative implementation pathway(s) to deliver public benefit to New Zealand, not limited to a single firm or end-user, and which may be uncertain in nature.</p>  |
|   | Weighted 25%  | Weighted 10%  |
| ASSESSMENT SCORING GUIDE  |   |   |
| <p><b>7</b><br/>(High quality)</p> <p>Completely Comprehensive Exemplary</p> <p>Extremely relevant</p> <p>Extremely significant</p> <p>Highly credible</p> <p>Highly relevant</p> <p>Impressive</p> <p>Outstanding</p> <p>Total confidence</p> <p>Very large</p> <p>Very well</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Potential direct benefits are extremely relevant, very high in number, of extremely high value, and comprehensively distributed or of specific impact to all areas of strategic importance.</li> <li>They may have extremely significant impacts upon a large sector or upon a sector with impressive potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Complete relevance and extremely substantial potential significance to one or more areas of strategic importance to New Zealand.</li> <li>Extremely significant indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research are extremely relevant to Māori, achieving outstanding, impressive, or specific and extremely valuable economic and/or social and/or environmental benefits.</li> <li>Māori contributions are fully valued and are completely included in the delivery of benefits.</li> <li>Very large new knowledge or intellectual property for Māori.</li> <li>Benefits or knowledge gained will be scaled up or transferred throughout New Zealand, respectively.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>Of an extremely high standard, completely credible, and fit for purpose.</li> <li>The supporting information is exemplary in scope and competence.</li> <li>Not limited to a single firm or end user.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Informed by exemplary engagement with diverse Māori stakeholders which optimises significant and meaningful Māori participation in, and contributions to, the research and co development of the proposal.</li> <li>Distinct risks and sensitivities are well mapped and managed.</li> <li>Appropriate tikanga (customs and traditions) has been identified and responsibilities allocated.</li> <li>Exemplary IP agreements modelling international indigenous best practice knowledge management are in place.</li> </ul> |

## Impact Assessment Scoring Guide Research Programmes – Protect and Add Value

### IMPACT ASSESSMENT – RESEARCH PROGRAMMES – PROTECT AND ADD VALUE

| ASSESSMENT CRITERIA   | BENEFIT TO NEW ZEALAND<br>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br>1. the scale and extent of potential benefits from the proposed research, science or technology or related activities; and<br>2. the Relevance of Benefits and additional value delivered to New Zealand.   | IMPLEMENTATION PATHWAY(S)<br>1. The credibility of implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and<br>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.   |
|---|--|--|
| <p><b>1</b><br/>(Low quality)</p> <p>Implausible<br/>Negligible<br/>Not credible<br/>Not present<br/>Not relevant<br/>Unlikely<br/>Unreliable<br/>Very poor</p> | <p><b>Weighted 25%</b></p> <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>&gt; Potential direct and indirect benefits are negligible and/or not credible and unlikely to be widely distributed or of no specific impact to more than one area.</li> <li>&gt; They may have negligible impacts upon a large sector or upon a sector with negligible potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Not relevant and of negligible potential significance to one or more areas of strategic importance to New Zealand.</li> <li>&gt; Negligible indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research have no relevance to Māori.</li> <li>&gt; There is no clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.</li> <li>&gt; No or negligible new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Weighted 25%</b></p> <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>&gt; No supporting impact plan.</li> <li>&gt; Limited to a single firm or end user.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; Very poor mix of skills and experience, with negligible potential for achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; No credible engagement with Māori.</li> <li>&gt; Vision Mātauranga is not present.</li> </ul> |
| <p><b>ASSESSMENT SCORING GUIDE</b></p>  |  |  |

**IMPACT ASSESSMENT – RESEARCH PROGRAMMES – PROTECT AND ADD VALUE**

|                                   |  |  |
|-----------------------------------|--|--|
| <p><b>ASSESSMENT CRITERIA</b></p> | <p><b>BENEFIT TO NEW ZEALAND</b><br/>                 Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br/>                 1. the scale and extent of potential benefits from the proposed research, science or technology or related activities; and<br/>                 2. the Relevance of Benefits and additional value delivered to New Zealand.</p> | <p><b>IMPLEMENTATION PATHWAY(S)</b>      <i>Weighted 25%</i></p> <ol style="list-style-type: none"> <li>The credibility of implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and</li> <li>The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</li> </ol> |
|-----------------------------------|--|--|

**ASSESSMENT SCORING GUIDE**

**2**

- Insufficient
- Little
- Minor
- Narrow
- Not significant
- Poor
- Unconvincing
- Unsatisfactory
- Very limited
- Very low

**Scale and extent of benefits**

- > Potential direct and indirect benefits are very low, and may be narrowly distributed or of very limited specific impact to more than one area.
- > They may have very limited impacts upon a large sector or upon a sector with unconvincing potential for growth.

**Relevance and additional value**

- > Very limited relevance and little significance to one or more areas of strategic importance to New Zealand.
- > Poor indirect and additional value in areas aligned with one or more future directions of investment.

**if Vision Mātauranga is relevant**

- > The benefits of the research have little relevance to Māori.
- > There is very limited clarity as to whether if any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.
- > Very limited new knowledge or intellectual property for Māori.

**Implementation pathways**

- > The supporting information is very limited and largely unsatisfactory.
- > Likely to be limited to a single firm or end user.

**Strength and potential impact of the team**

- > A poor mix of skills and experience with a very limited potential of achieving the proposed outcomes and impact.

**if Vision Mātauranga is relevant**

- > Very limited, insufficient arrangements for engagement with Māori stakeholders.

| IMPACT ASSESSMENT – RESEARCH PROGRAMMES – PROTECT AND ADD VALUE |   |  |
|---|---|--|
| <b>ASSESSMENT CRITERIA</b>                                      | <b>BENEFIT TO NEW ZEALAND</b><br>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand's economic, social, human or natural capital. Assessment must have particular regard to:<br>1. the scale and extent of potential benefits from the proposed research, science or technology or related activities; and<br>2. the Relevance of Benefits and additional value delivered to New Zealand.   | <b>IMPLEMENTATION PATHWAY(S)</b> <i>Weighted 25%</i><br>1. The credibility of implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and<br>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.  |
| <b>ASSESSMENT SCORING GUIDE</b>                                 |   |  |
| <b>3</b><br>Limited<br>Low<br>Partially<br>Some                 | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>&gt; Potential direct and indirect benefits are low, and may not be widely distributed or of limited specific impact to more than one area.</li> <li>&gt; They may have some impacts upon a large sector or upon a sector with limited potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Some relevance and limited significance to one or more areas of strategic importance to New Zealand.</li> <li>&gt; Low indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research have low to moderate relevance to Māori.</li> <li>&gt; There is limited clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.</li> <li>&gt; Limited new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>&gt; The supporting information is limited and not very convincing.</li> <li>&gt; May be limited to a single firm or end user.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; A limited mix of skills and experience with a limited likelihood of achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Some significant gaps in arrangements for engagement with Māori stakeholders.</li> <li>&gt; The Vision Mātauranga related aspects of the pathway appear somewhat inadequate.</li> </ul> |

**IMPACT ASSESSMENT – RESEARCH PROGRAMMES – PROTECT AND ADD VALUE**

|                                   |  |  |
|-----------------------------------|--|--|
| <p><b>ASSESSMENT CRITERIA</b></p> | <p><b>BENEFIT TO NEW ZEALAND</b><br/>                 Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br/>                 1. the scale and extent of potential benefits from the proposed research, science or technology or related activities; and<br/>                 2. the Relevance of Benefits and additional value delivered to New Zealand.</p> | <p><b>IMPLEMENTATION PATHWAY(S)</b>      <i>Weighted 25%</i></p> <ol style="list-style-type: none"> <li>1. The credibility of implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and</li> <li>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</li> </ol> |
|-----------------------------------|--|--|

**ASSESSMENT SCORING GUIDE**

**4**

Moderate  
 Modest  
 Reasonable  
 Some

|  |  |
|--|--|
| <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>&gt; Some direct and indirect benefits are of moderate value, and may be reasonably distributed or of some specific impact to more than one area.</li> <li>&gt; They may have some impacts upon a large sector or upon a sector with modest potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Moderately relevant and some potential significance to one or more areas of strategic importance to New Zealand.</li> <li>&gt; Modest indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research are moderately relevant to Māori, achieving some, reasonable, or modest economic and/or social and/or environmental benefits.</li> <li>&gt; Māori contributions are valued to some degree and have some involvement in the delivery of benefits.</li> <li>&gt; Some new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>&gt; Has gaps in the supporting information that leave key questions unanswered.</li> <li>&gt; May be limited to a single firm or end user.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; A reasonable mix of skills and experience that is likely to achieve at least part of the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Satisfactory arrangements for engagement with obvious Māori stakeholders.</li> <li>&gt; Some distinct risks and sensitivity management is in place.</li> <li>&gt; Satisfactory Māori participation in the research is evident.</li> <li>&gt; Obvious relevant tikanga (customs and traditions) Māori has been satisfactorily gauged and described.</li> <li>&gt; The IP agreements in place respond to any indigenous knowledge management issues/ requirements if raised.</li> </ul> |
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| IMPACT ASSESSMENT – RESEARCH PROGRAMMES – PROTECT AND ADD VALUE   |   |   |
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| <b>ASSESSMENT CRITERIA</b>  | <b>BENEFIT TO NEW ZEALAND</b><br>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br>1. the scale and extent of potential benefits from the proposed research, science or technology or related activities; and<br>2. the Relevance of Benefits and additional value delivered to New Zealand.   | <b>IMPLEMENTATION PATHWAY(S)</b> <i>Weighted 25%</i><br>1. The credibility of implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and<br>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.   |
| <b>ASSESSMENT SCORING GUIDE</b>   |   |   |
| <p><b>5</b></p> <p>Appropriate<br/>Credible<br/>Good confidence<br/>Large<br/>Relevant<br/>Significant<br/>Sizable<br/>Substantial<br/>Well explained</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>&gt; Potential direct and indirect benefits are large, numerous, of high value, and may be widely distributed or of specific impact to more than one area .</li> <li>&gt; They may have significant impacts upon a large sector or upon a sector with marked potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Relevant and substantial potential significance to one or more areas of strategic importance to New Zealand.</li> <li>&gt; Substantial indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research are relevant to Māori, achieving large, significant, or specific economic and/or social and/or environmental benefits.</li> <li>&gt; Māori contributions are valued and are central to the delivery of benefits.</li> <li>&gt; Significant new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>&gt; Indicative supporting information is satisfactory in scope and competence.</li> <li>&gt; Not to be limited to a single firm or end user.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; A credible mix of skills and experience appropriate to achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Informed by comprehensive engagement with key Māori stakeholders who are participating in, and contributions to, the research and co-development of the proposal.</li> <li>&gt; Distinct risks and sensitivities are well mapped and managed.</li> <li>&gt; The role of (customs and traditions) has been identified.</li> <li>&gt; Credible IP agreements are in place and respond to identified indigenous knowledge management requirements.</li> </ul> |

**IMPACT ASSESSMENT – RESEARCH PROGRAMMES – PROTECT AND ADD VALUE**

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|---|---|---|
| <p><b>ASSESSMENT CRITERIA</b></p>   | <p><b>BENEFIT TO NEW ZEALAND</b><br/>                 Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br/>                 1. the scale and extent of potential benefits from the proposed research, science or technology or related activities; and<br/>                 2. the Relevance of Benefits and additional value delivered to New Zealand.</p>  | <p><b>IMPLEMENTATION PATHWAY(S)</b>      <i>Weighted 25%</i></p> <ol style="list-style-type: none"> <li>The credibility of implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and</li> <li>The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</li> </ol>  |
| <p><b>ASSESSMENT SCORING GUIDE</b></p>  |   |   |
| <p><b>6</b><br/><br/>                 Comprehensive<br/>                 Credible<br/>                 Entirely<br/>                 Extensive<br/>                 High confidence<br/>                 Relevant<br/>                 Very large<br/>                 Very substantial<br/>                 Well</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>Potential direct and indirect benefits are of very large, substantial, of high value, and may be very widely distributed or of specific impact to many areas .</li> <li>They may have very substantial impacts able to be delivered for a large sector or a sector with marked extensive potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Very relevant and very substantial potential significance to many areas of strategic importance to New Zealand.</li> <li>Very substantial indirect and additional value is generated by the research.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research are very relevant to Māori, achieving very large, very significant, or specific and highly valued economic and/or social and/or environmental benefits.</li> <li>Māori contributions are strongly valued and are very central to the delivery of benefits.</li> <li>Very substantial new knowledge or intellectual property for Māori.</li> <li>Benefits or knowledge gained will be scaled up or transferred to other locations in New Zealand, respectively.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>Of a high standard, and fit for purpose.</li> <li>The supporting information that is credible in scope and competence.</li> <li>Not to be limited to a single firm or end user.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>A well-complemented mix of skills and experience relevant to achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Informed by very credible engagement with diverse Māori stakeholders which results in meaningful Māori participation in, and contributions to, the research and co-development of the proposal.</li> <li>Distinct risks and sensitivities are effectively mapped and managed.</li> <li>Appropriate tikanga (customs and traditions) has been identified and responsibilities allocated.</li> <li>IP agreements align strongly to indigenous best practice knowledge management.</li> </ul> |

**IMPACT ASSESSMENT – RESEARCH PROGRAMMES – PROTECT AND ADD VALUE**

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| <p><b>ASSESSMENT CRITERIA</b></p>   | <p><b>BENEFIT TO NEW ZEALAND</b><br/>                 Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand's economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>1. the scale and extent of potential benefits from the proposed research, science or technology or related activities; and</li> <li>2. the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><b>IMPLEMENTATION PATHWAY(S)</b>      <i>Weighted 25%</i></p> <ol style="list-style-type: none"> <li>1. The credibility of implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and</li> <li>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</li> </ol>   |
| <p><b>ASSESSMENT SCORING GUIDE</b></p>  |  |  |
| <p><b>7</b><br/>                 (High quality)<br/><br/>                 Completely Comprehensive Exemplary<br/>                 Extremely relevant<br/>                 Extremely significant<br/>                 Highly credible<br/>                 Highly relevant<br/>                 Impressive<br/>                 Outstanding<br/>                 Total confidence<br/>                 Very large<br/>                 Very well</p> | <p><b>Scale and extent of benefits</b></p> <ul style="list-style-type: none"> <li>&gt; Potential direct and indirect benefits are extremely relevant, very high in number, of extremely high value, and comprehensively distributed or of specific impact to many areas.</li> <li>&gt; They may have extremely significant impacts upon a large sector or upon a sector with impressive potential for growth.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Complete relevance and extremely substantial potential significance to many areas of strategic importance to New Zealand.</li> <li>&gt; Extremely significant indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research are extremely relevant to Māori, achieving outstanding, impressive, or specific and extremely valuable economic and/or social and/or environmental benefits.</li> <li>&gt; Māori contributions are fully valued and are completely included in the delivery of benefits.</li> <li>&gt; Very large new knowledge or intellectual property for Māori.</li> <li>&gt; Benefits or knowledge gained will be scaled up or transferred throughout New Zealand, respectively.</li> </ul> | <p><b>Implementation pathways</b></p> <ul style="list-style-type: none"> <li>&gt; Of an extremely high standard, and fit for purpose.</li> <li>&gt; The supporting information is exemplary in scope and competence.</li> <li>&gt; Not to be limited to a single firm or end user.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; A highly credible mix of skills and experience that is highly relevant to achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Informed by exemplary engagement with diverse Māori stakeholders which optimises significant and meaningful Māori participation in, and contributions to, the research and co-development of the proposal.</li> <li>&gt; Distinct risks and sensitivities are well mapped and managed.</li> <li>&gt; Appropriate tikanga (customs and traditions) has been identified and responsibilities allocated.</li> <li>&gt; Exemplary IP agreements modelling international indigenous best practice knowledge management are in place.</li> </ul> |

# Impact Assessment Scoring Guide

## Research Programmes – Transform

### IMPACT ASSESSMENT – RESEARCH PROGRAMMES – TRANSFORM

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| <p><b>ASSESSMENT CRITERIA</b></p>  | <p><b>BENEFIT TO NEW ZEALAND</b></p> <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the extent to which the technology, process, practice, business model, or policy enabled by the research is a Radical Change and/or leap in performance versus the status quo; and</li> <li>the extent to which the ultimate impact resulting from the new technology, process, practice, business model or policy is a transformation of the New Zealand economy, society or environment; and</li> <li>evidence of the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><b>IMPLEMENTATION PATHWAY(S)</b> <i>Weighted 25%</i></p> <ol style="list-style-type: none"> <li>Demonstrated understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and</li> <li>The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</li> </ol>   |
| <p><b>ASSESSMENT SCORING GUIDE</b></p> <p><b>1</b><br/>(Low quality)</p> <p>Implausible<br/>Negligible<br/>Not credible<br/>Not present<br/>Not relevant<br/>Unlikely<br/>Unreliable<br/>Very poor</p> | <p><b>Immediate Impact</b></p> <ul style="list-style-type: none"> <li>The changes enabled by the research are negligible and/or give no leap in performance.</li> </ul> <p><b>Ultimate Impact</b></p> <ul style="list-style-type: none"> <li>The potential benefit for New Zealand is not transformational in nature.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Not relevant and of negligible potential significance to one or more areas of strategic importance to New Zealand.</li> <li>Indirect and additional value in areas aligned with one or more future directions of investment is not present.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research have no relevance to Māori.</li> <li>There is no clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.</li> <li>No or negligible new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Demonstrated understanding of implementation pathway(s)</b></p> <ul style="list-style-type: none"> <li>The application demonstrates no understanding of the enablers and barriers in potential implementation pathway(s).</li> </ul> <p><b>Strength of proposed impact relationships</b></p> <ul style="list-style-type: none"> <li>Are not relevant.</li> <li>Do not give confidence that commitments based on those relationships will be realised.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>Very poor mix of skills and experience, with negligible potential for achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>No credible engagement with Māori.</li> <li>Vision Mātauranga is not present.</li> </ul> |

| IMPACT ASSESSMENT – RESEARCH PROGRAMMES – TRANSFORM  |  |   |
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| ASSESSMENT CRITERIA  | BENEFIT TO NEW ZEALAND   | IMPLEMENTATION PATHWAY(S)   |
|  | <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the extent to which the technology, process, practice, business model, or policy enabled by the research is a Radical Change and/or leap in performance versus the status quo; and</li> <li>the extent to which the ultimate impact resulting from the new technology, process, practice, business model or policy is a transformation of the New Zealand economy, society or environment; and</li> <li>evidence of the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><i>Weighted 25%</i></p> <ol style="list-style-type: none"> <li>Demonstrated understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and</li> <li>The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</li> </ol>  |
| ASSESSMENT SCORING GUIDE   |  |   |
| <p><b>2</b></p> <p>Insufficient<br/>Little<br/>Minor<br/>Narrow<br/>Not significant<br/>Poor<br/>Unconvincing<br/>Unsatisfactory<br/>Very limited<br/>Very low</p> | <p><b>Immediate Impact</b></p> <ul style="list-style-type: none"> <li>The changes enabled by the research are minor and/or give a small leap in performance.</li> </ul> <p><b>Ultimate Impact</b></p> <ul style="list-style-type: none"> <li>The potential benefit for New Zealand is unlikely to be transformational in nature.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Very limited relevance and little significance to one or more areas of strategic importance to New Zealand.</li> <li>Poor indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research have little relevance to Māori.</li> <li>There is very limited clarity as to whether if any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.</li> <li>Very limited new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Demonstrated understanding of implementation pathway(s)</b></p> <ul style="list-style-type: none"> <li>The application demonstrates very limited understanding of the enablers and barriers in potential implementation pathway(s).</li> </ul> <p><b>Strength of proposed impact relationships</b></p> <ul style="list-style-type: none"> <li>Are of little relevance.</li> <li>Give little confidence that commitments based on those relationships will be realised.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>A poor mix of skills and experience with a very limited potential of achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Very limited, insufficient arrangements for engagement with Māori stakeholders.</li> </ul> |

| IMPACT ASSESSMENT – RESEARCH PROGRAMMES – TRANSFORM |   |  |
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| <b>ASSESSMENT CRITERIA</b>                          | <b>BENEFIT TO NEW ZEALAND</b><br>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br>1. the extent to which the technology, process, practice, business model, or policy enabled by the research is a Radical Change and/or leap in performance versus the status quo; and<br>2. the extent to which the ultimate impact resulting from the new technology, process, practice, business model or policy is a transformation of the New Zealand economy, society or environment; and<br>3. evidence of the Relevance of Benefits and additional value delivered to New Zealand.   | <b>IMPLEMENTATION PATHWAY(S)</b> <i>Weighted 25%</i><br>1. Demonstrated understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and<br>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.  |
| <b>ASSESSMENT SCORING GUIDE</b>                     |   |  |
| <b>3</b><br>Limited<br>Low<br>Partially<br>Some     | <p><b>Immediate Impact</b></p> <ul style="list-style-type: none"> <li>&gt; The changes enabled by the research are limited and/or give a limited leap in performance.</li> </ul> <p><b>Ultimate Impact</b></p> <ul style="list-style-type: none"> <li>&gt; The potential benefit for New Zealand is possibly transformational in nature.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Some relevance and limited significance to one or more areas of strategic importance to New Zealand.</li> <li>&gt; Low indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research have low to moderate relevance to Māori.</li> <li>&gt; There is limited clarity as to whether any economic and/or social and/or environmental benefits will be realised by any Māori interests or if Māori contributions to the science are identified and valued.</li> <li>&gt; Limited new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Demonstrated understanding of implementation pathway(s)</b></p> <ul style="list-style-type: none"> <li>&gt; The application demonstrates some understanding of the enablers and barriers in potential implementation pathway(s).</li> </ul> <p><b>Strength of proposed impact relationships</b></p> <ul style="list-style-type: none"> <li>&gt; Are partially relevant.</li> <li>&gt; Give limited confidence that commitments based on those relationships will be realised.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; A limited mix of skills and experience with a limited likelihood of achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Some significant gaps in arrangements for engagement with Māori stakeholders.</li> <li>&gt; The Vision Mātauranga related aspects of the pathway appear somewhat inadequate.</li> </ul> |

| IMPACT ASSESSMENT – RESEARCH PROGRAMMES – TRANSFORM                |  |  |
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| ASSESSMENT CRITERIA  | BENEFIT TO NEW ZEALAND   | IMPLEMENTATION PATHWAY(S)  |
|  | <p>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:</p> <ol style="list-style-type: none"> <li>the extent to which the technology, process, practice, business model, or policy enabled by the research is a Radical Change and/or leap in performance versus the status quo; and</li> <li>the extent to which the ultimate impact resulting from the new technology, process, practice, business model or policy is a transformation of the New Zealand economy, society or environment; and</li> <li>evidence of the Relevance of Benefits and additional value delivered to New Zealand.</li> </ol>  | <p><i>Weighted 25%</i></p> <ol style="list-style-type: none"> <li>Demonstrated understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and</li> <li>The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.</li> </ol>   |
| ASSESSMENT SCORING GUIDE   |  |  |
| <p><b>4</b></p> <p>Moderate<br/>Modest<br/>Reasonable<br/>Some</p> | <p><b>Immediate Impact</b></p> <ul style="list-style-type: none"> <li>The changes enabled by the research are reasonable and/or give a moderate leap in performance.</li> </ul> <p><b>Ultimate Impact</b></p> <ul style="list-style-type: none"> <li>The potential benefit for New Zealand is moderately transformational in nature.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>Moderately relevant and some potential significance to one or more areas of strategic importance to New Zealand.</li> <li>Modest indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>The benefits of the research are moderately relevant to Māori, achieving some, reasonable, or modest economic and/or social and/or environmental benefits.</li> <li>Māori contributions are valued to some degree and have some involvement in the delivery of benefits.</li> <li>Some new knowledge or intellectual property for Māori.</li> </ul> | <p><b>Demonstrated understanding of implementation pathway(s)</b></p> <ul style="list-style-type: none"> <li>The application demonstrates modest understanding of the enablers and barriers in potential implementation pathway(s).</li> </ul> <p><b>Strength of proposed impact relationships</b></p> <ul style="list-style-type: none"> <li>Are moderately relevant.</li> <li>Give moderate confidence that commitments based on those relationships will be realised.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>A reasonable mix of skills and experience that is likely to achieve at least part of the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>Satisfactory arrangements for engagement with obvious Māori stakeholders.</li> <li>Some distinct risks and sensitivity management is in place.</li> <li>Satisfactory Māori participation in the research is evident.</li> <li>Obvious relevant tikanga (customs and traditions) Māori has been satisfactorily gauged and described.</li> <li>The IP agreements in place respond to any indigenous knowledge management issues/ requirements if raised.</li> </ul> |

**IMPACT ASSESSMENT – RESEARCH PROGRAMMES – TRANSFORM**

| <p><b>ASSESSMENT CRITERIA</b></p>   | <p><b>BENEFIT TO NEW ZEALAND</b><br/>                     Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br/>                     1. the extent to which the technology, process, practice, business model, or policy enabled by the research is a Radical Change and/or leap in performance versus the status quo; and<br/>                     2. the extent to which the ultimate impact resulting from the new technology, process, practice, business model or policy is a transformation of the New Zealand economy, society or environment; and<br/>                     3. evidence of the Relevance of Benefits and additional value delivered to New Zealand.</p>   | <p><b>IMPLEMENTATION PATHWAY(S)</b>      <i>Weighted 25%</i></p> 1. Demonstrated understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and<br>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.   |
|---|--|--|
| <p><b>5</b><br/>                     Appropriate<br/>                     Credible<br/>                     Good confidence<br/>                     Large<br/>                     Relevant<br/>                     Significant<br/>                     Sizable<br/>                     Substantial<br/>                     Well explained</p> | <p><b>Immediate Impact</b><br/>                     &gt; The changes enabled by the research are significant and/or give a large leap in performance.<br/> <b>Ultimate Impact</b><br/>                     &gt; The potential benefit for New Zealand is largely transformational in nature.<br/> <b>Relevance and additional value</b><br/>                     &gt; Relevant and substantial potential significance to one or more areas of strategic importance to New Zealand.<br/>                     &gt; Substantial indirect and additional value in areas aligned with one or more future directions of investment.<br/> <b>if Vision Mātauranga is relevant</b><br/>                     &gt; The benefits of the research are relevant to Māori, achieving large, significant, or specific economic and/or social and/or environmental benefits.<br/>                     &gt; Māori contributions are valued and are central to the delivery of benefits.<br/>                     &gt; Significant new knowledge or intellectual property for Māori.</p> | <p><b>Demonstrated understanding of implementation pathway(s)</b><br/>                     &gt; The application demonstrates appropriate understanding of the enablers and barriers in potential implementation pathway(s).<br/> <b>Strength of proposed impact relationships</b><br/>                     &gt; Are largely relevant.<br/>                     &gt; Give good confidence that commitments based on those relationships will be realised.<br/> <b>Strength and potential impact of the team</b><br/>                     &gt; A credible mix of skills and experience appropriate to achieving the proposed outcomes and impact.<br/> <b>if Vision Mātauranga is relevant</b><br/>                     &gt; Informed by comprehensive engagement with key Māori stakeholders who are participating in, and contributions to, the research and co-development of the proposal.<br/>                     &gt; Distinct risks and sensitivities are well mapped and managed.<br/>                     &gt; The role of (customs and traditions) has been identified.<br/>                     &gt; Credible IP agreements are in place and respond to identified indigenous knowledge management requirements.</p> |

| IMPACT ASSESSMENT – RESEARCH PROGRAMMES – TRANSFORM  |   |  |
|--|---|--|
| ASSESSMENT CRITERIA  | BENEFIT TO NEW ZEALAND<br><br>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br>1. the extent to which the technology, process, practice, business model, or policy enabled by the research is a Radical Change and/or leap in performance versus the status quo; and<br>2. the extent to which the ultimate impact resulting from the new technology, process, practice, business model or policy is a transformation of the New Zealand economy, society or environment; and<br>3. evidence of the Relevance of Benefits and additional value delivered to New Zealand.  | IMPLEMENTATION PATHWAY(S)<br><br>1. Demonstrated understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and<br>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.   |
| ASSESSMENT SCORING GUIDE   |   |  |
| <p><b>6</b></p> <p>Comprehensive<br/>Credible<br/>Entirely<br/>Extensive<br/>High confidence<br/>Relevant<br/>Very large<br/>Very substantial<br/>Well</p> | <p><b>Immediate Impact</b></p> <ul style="list-style-type: none"> <li>&gt; The changes enabled by the research are extensive and/or give very large leap in performance.</li> </ul> <p><b>Ultimate Impact</b></p> <ul style="list-style-type: none"> <li>&gt; The potential benefit for New Zealand is extensively transformational in nature.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Very relevant and very substantial potential significance to many areas of strategic importance to New Zealand.</li> <li>&gt; Very substantial indirect and additional value is generated by the research.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research are very relevant to Māori, achieving very large, very significant, or specific and highly valued economic and/or social and/or environmental benefits.</li> <li>&gt; Māori contributions are strongly valued and are very central to the delivery of benefits.</li> <li>&gt; Very substantial new knowledge or intellectual property for Māori.</li> <li>&gt; Benefits or knowledge gained will be scaled up or transferred to other locations in New Zealand, respectively.</li> </ul> | <p><b>Demonstrated understanding of implementation pathway(s)</b></p> <ul style="list-style-type: none"> <li>&gt; The application demonstrates comprehensive understanding of the enablers and barriers in potential implementation pathway(s).</li> </ul> <p><b>Strength of proposed impact relationships</b></p> <ul style="list-style-type: none"> <li>&gt; Are entirely relevant.</li> <li>&gt; Give high confidence that commitments based on those relationships will be realised.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; A well-complemented mix of skills and experience relevant to achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Informed by very credible engagement with diverse Māori stakeholders which results in meaningful Māori participation in, and contributions to, the research and co-development of the proposal.</li> <li>&gt; Distinct risks and sensitivities are effectively mapped and managed.</li> <li>&gt; Appropriate tikanga (customs and traditions) has been identified and responsibilities allocated.</li> <li>&gt; IP agreements align strongly to indigenous best practice knowledge management.</li> </ul> |

| IMPACT ASSESSMENT – RESEARCH PROGRAMMES – TRANSFORM  |  |  |
|--|--|--|
| <b>ASSESSMENT CRITERIA</b>   | <b>BENEFIT TO NEW ZEALAND</b><br><br>Research should have direct and indirect benefits or effect on individuals, communities or society as a whole, including broad benefits to New Zealand’s economic, social, human or natural capital. Assessment must have particular regard to:<br><br>1. the extent to which the technology, process, practice, business model, or policy enabled by the research is a Radical Change and/or leap in performance versus the status quo; and<br><br>2. the extent to which the ultimate impact resulting from the new technology, process, practice, business model or policy is a transformation of the New Zealand economy, society or environment; and<br><br>3. evidence of the Relevance of Benefits and additional value delivered to New Zealand.  | <b>IMPLEMENTATION PATHWAY(S)</b> <i>Weighted 25%</i><br><br>1. Demonstrated understanding of the enablers and barriers in potential implementation pathway(s) to deliver public benefits to New Zealand, not limited to a single firm or end user, and the strength of relationships with relevant end users, beneficiaries, or stakeholders; and<br><br>2. The mix of complementary skills and experience, within the team, relevant to achieving impact in the proposed impact areas.  |
| <b>ASSESSMENT SCORING GUIDE</b>  |  |  |
| <p><b>7</b><br/>(High quality)</p> <p>Completely Comprehensive Exemplary<br/>Extremely relevant<br/>Extremely significant<br/>Highly credible<br/>Highly relevant<br/>Impressive<br/>Outstanding<br/>Total confidence<br/>Very large<br/>Very well</p> | <p><b>Immediate Impact</b></p> <ul style="list-style-type: none"> <li>&gt; The changes enabled by the research are radical and/or give outstanding leap in performance.</li> </ul> <p><b>Ultimate Impact</b></p> <ul style="list-style-type: none"> <li>&gt; The potential benefit for New Zealand is totally transformational in nature.</li> </ul> <p><b>Relevance and additional value</b></p> <ul style="list-style-type: none"> <li>&gt; Complete relevance and extremely substantial potential significance to many areas of strategic importance to New Zealand.</li> <li>&gt; Extremely significant indirect and additional value in areas aligned with one or more future directions of investment.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; The benefits of the research are extremely relevant to Māori, achieving outstanding, impressive, or specific and extremely valuable economic and/or social and/or environmental benefits.</li> <li>&gt; Māori contributions are fully valued and are completely included in the delivery of benefits.</li> <li>&gt; Very large new knowledge or intellectual property for Māori.</li> <li>&gt; Benefits or knowledge gained will be scaled up or transferred throughout New Zealand, respectively.</li> </ul> | <p><b>Demonstrated understanding of implementation pathway(s)</b></p> <ul style="list-style-type: none"> <li>&gt; The application demonstrates exemplary understanding of the enablers and barriers in potential implementation pathway(s).</li> </ul> <p><b>Strength of proposed impact relationships</b></p> <ul style="list-style-type: none"> <li>&gt; Are extremely relevant.</li> <li>&gt; Give total confidence that commitments based on those relationships will be realised.</li> </ul> <p><b>Strength and potential impact of the team</b></p> <ul style="list-style-type: none"> <li>&gt; A highly credible mix of skills and experience that is highly relevant to achieving the proposed outcomes and impact.</li> </ul> <p><b>if Vision Mātauranga is relevant</b></p> <ul style="list-style-type: none"> <li>&gt; Informed by exemplary engagement with diverse Māori stakeholders which optimises significant and meaningful Māori participation in, and contributions to, the research and co-development of the proposal.</li> <li>&gt; Distinct risks and sensitivities are well mapped and managed.</li> <li>&gt; Appropriate tikanga (customs and traditions) has been identified and responsibilities allocated.</li> <li>&gt; Exemplary IP agreements modelling international indigenous best practice knowledge management are in place.</li> </ul> |

# Viewing Assigned Proposals and Recording Assessments

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

## Accessing the IMS Portal

To access the portal you require:

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

**For portal support, contact MBIE's Investment Operations Team Monday to Friday between 8.30am and 4.30pm (New Zealand time):**

- › email [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)
- › call 0800 693 778

### To log in to the IMS portal

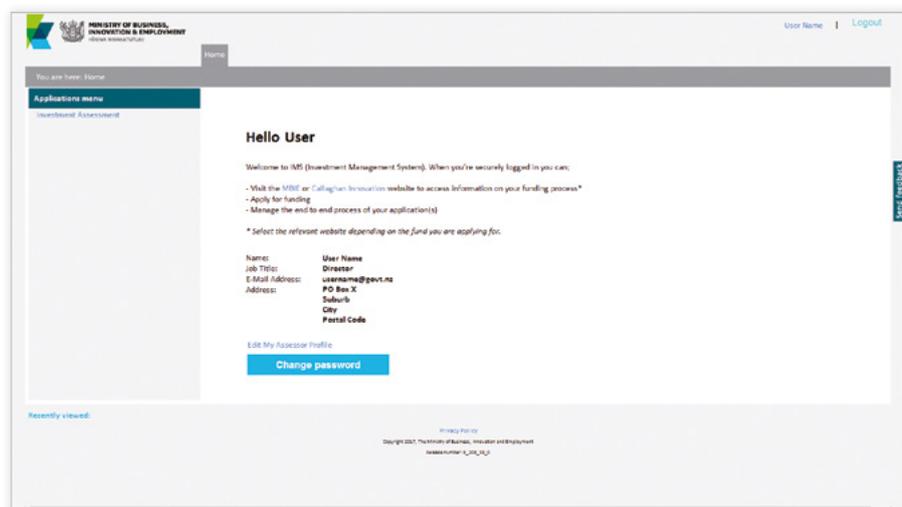
#### For first time Assessors:

1. You will receive an email containing your portal username and a temporary password. Click the [portal link](#) in this email. The IMS portal's access agreement displays. This agreement details the terms and conditions governing the use of the portal.

Your temporary password will expire in 72 hours and can only be used once. The access agreement will only appear once, the first time you log in.

2. Read and accept this agreement. Once accepted, an **Edit password** screen displays.
3. Following the on screen prompts, enter your temporary password and then enter a new permanent one.
4. Click the **Save Changes** button. The portal's **Home** screen displays.

Five or more failed log in attempts will automatically lock you out of the system. If this occurs, contact the Investment Operations Team via [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz) and ask for your account to be unlocked.



The Home page of the MBIE IMS portal.

**For previous Assessors:**

1. Click the **MBIE IMS Portal** link ([ims.msi.govt.nz/](https://ims.msi.govt.nz/)).
2. Enter 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  icon (*where UN is your initials*) located top right of assessment **Scoring page**.

**Updating your IMS Portal Details**

From the **Home screen** in the IMS portal, you can update 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 including Diversity information 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**.

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

**Accepting/Declining Assigned Proposals**

| KEY PORTAL DATES                                | SMART IDEAS |                | RESEARCH PROGRAMMES  |
|---|-------------|----------------|--|
|   | CONCEPTS    | FULL PROPOSALS | FULL PROPOSALS   |
| Proposals assigned and assessment <b>starts</b> | 21 Jan 2020 | 11 Jun 2020    | <i>for assessment of Excellence: 18 Mar 2020</i><br><i>for assessment of Impact: 28 May 2020</i> |

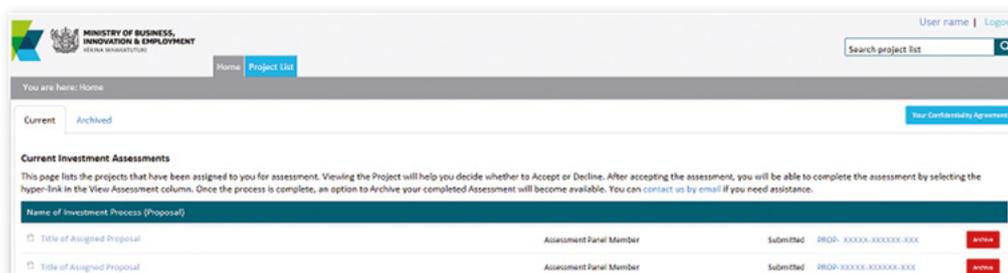
Note that additional proposals may be assigned after these dates.

**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 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.



3. Scroll down the list to see your assignments.
 

The Endeavour Fund 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 one or more of the following headings:

  - **2020 Endeavour Fund – Smart Ideas (Concepts)**
  - **2020 Endeavour Fund – Smart Ideas (Proposals)**
  - **2020 Endeavour Fund – Research Programmes (Proposals)**
4. For the first proposal listed, click the link under **View Project**. A **summary** of the proposal opens in a new browser tab.
5. Read this **summary** and:
  - › 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 box, enter the reason for declining the proposal and then click the **Save** button. The declined proposal is automatically removed from your list of assigned projects.
    4. Close the proposal summary tab.
  - › If you decide an **indirect conflict of interest** exists, close the proposal summary and email MBIE at [assessors@mbie.govt.nz](mailto:assessors@mbie.govt.nz) to explain the reason why.
  - › If 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 assigned to you in your list.

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**A Full Proposal cannot be viewed until an assigned proposal has been accepted for assessment.**

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## Viewing and Printing Assigned Proposals

### To accept (or decline) an assignment

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 desired, download the **Full Proposal** to your computer to enable access without having to log into the MBIE portal.

The proposal number is prominently displayed in the header of the proposal.

Proposals **must** be kept confidential. You **are required to:**

- › ensure the safe keeping of all proposals and related documents (*eg 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 the following dates.

| KEY PORTAL DATES   | SMART IDEAS |                | RESEARCH PROGRAMMES  |
|--|-------------|----------------|--|
|  | CONCEPTS    | FULL PROPOSALS | FULL PROPOSALS   |
| Assessment ends.<br>Assessments must be recorded in the IMS portal | 06 Feb 2020 | 01 July 2020   | <i>for assessment of Excellence: 30 Mar 2020</i><br><i>for assessment of Impact: 10 Jun 2020</i> |

### 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.

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

You **must**:

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

3. Enter your assessment scores and commentary **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. 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.

The screenshot shows a web interface for assessment. On the left is a navigation menu with categories like 'Assessment scores and comments', 'Excellence: Science score', 'Excellence: Team score', 'Scientific or technical risk', 'Vision Mātauranga', and 'Assessor alignment'. The main content area is divided into two sections. The top section is 'Excellence: Science score' with a dropdown menu set to '5' and a text area for comments. The bottom section is 'Excellence: Team score' with a dropdown menu set to '4' and a text area for comments. At the bottom right, there are 'SAVE' and 'UNDO' buttons.

Ensure that your comments are professional, honest, accurate, and correlate to the score and description associated with the relevant scoring guide supplement. Do not include names and be mindful that:

- if requested to do so, they may be made available under the Official Information Act 1982.
- your comments form the basis of feedback to the Applicants.
- word limits for comments apply; these are shown in each **Comment** field.

Comment only to what you have been asked to assess, ie. Excellence or Impact.

When responding to the Vision Mātauranga questions, where there is a divergence between your view and the Applicant's view as to whether or not Vision Mātauranga applies, give reasons for this. If Vision Mātauranga is not relevant to the proposal, and this is consistent with the Applicant's view, the only comment you need to make is "Vision Mātauranga is not relevant to that proposal".

You will also be asked to rate:

- how closely your area(s) of expertise aligns with the proposal; whether **Aligned**, **Well aligned**, or **Very well aligned**.
- if applicable to your assessment, the level of scientific or technical risk in the proposal; whether **Low**, **Medium** or **High**.

4. When your assessment is complete (*you have recorded your assessment rating and comment(s) into **all** of the fields*), click the **Submit** button. If you do not record an answer for every question, you will not be able to submit your assessment.
5. A summary dialog displays with your assessment. If your recorded answers are satisfactory to you, click the **Submit** button. If not, click the **Back** button to return to the **Scoring** page and modify your commentary.

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

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

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6. Close the browser tab displaying the **Scoring** page and return to the tab displaying your list of assignments.  
You may need to refresh the browser page to display the change in status.
7. Once you have completed and submitted all your proposals, click the **Archive** button for each proposal. The proposals will be automatically removed from your list of assignments.

| View Project                     | Assessment Role | Assessment Stage | Status      | View Assessment                       | Action                  |
|----------------------------------|-----------------|------------------|-------------|---------------------------------------|-------------------------|
| <a href="#">Application Name</a> | Assessor        | Excellence       | In progress | <a href="#">CONC-XXX-XXXXX-XXXXXX</a> | <a href="#">Archive</a> |

View all archived assignments on the **Archived** tab. You can unarchive the proposal at any stage by clicking the **Unarchive** button.

| View Project                     | Assessment Role | Assessment Stage | Status    | View Assessment                       | Action                    |
|----------------------------------|-----------------|------------------|-----------|---------------------------------------|---------------------------|
| <a href="#">Application Name</a> | Assessor (lead) | Excellence       | Submitted | <a href="#">CONC-XXX-XXXXX-XXXXXX</a> | <a href="#">Unarchive</a> |

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**Remember to destroy all saved/printed proposals after the assessment process is completed.**

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## Checking the Status of your Assessments

You can check the completeness of your assessment of a proposal in the left hand Navigation panel of the scoring page.

| THE COLOURED BAR  | INDICATES YOU HAVE  |
|---|---------------------|
|  | recorded a response |
|  | yet to respond      |

 **TIP:** You can also click the mouse at the top of the **Scoring** page to view a Progress bar.

## Recording Lead Assessor Summaries

Lead Assessors are sent email alerts when they can begin to enter their summary comments for a proposal. A Lead Assessor summary describes and summarises the individual Assessor scores and comments.

Lead Assessor comments are due on or before the following dates.

| ASSESSMENT DUE DATES  | SMART IDEAS |                | RESEARCH PROGRAMMES  |
|---|-------------|----------------|--|
|   | CONCEPTS    | FULL PROPOSALS | FULL PROPOSALS   |
| Lead assessment <b>ends</b> .<br>Lead assessment must be recorded in the IMS portal | 26 Feb 2020 | 22 July 2020   | <i>for assessment of Excellence: 21 Apr 2020</i><br><i>for Impact: 06 Jul 2020</i> |

## Recording Assessment Summary Comments

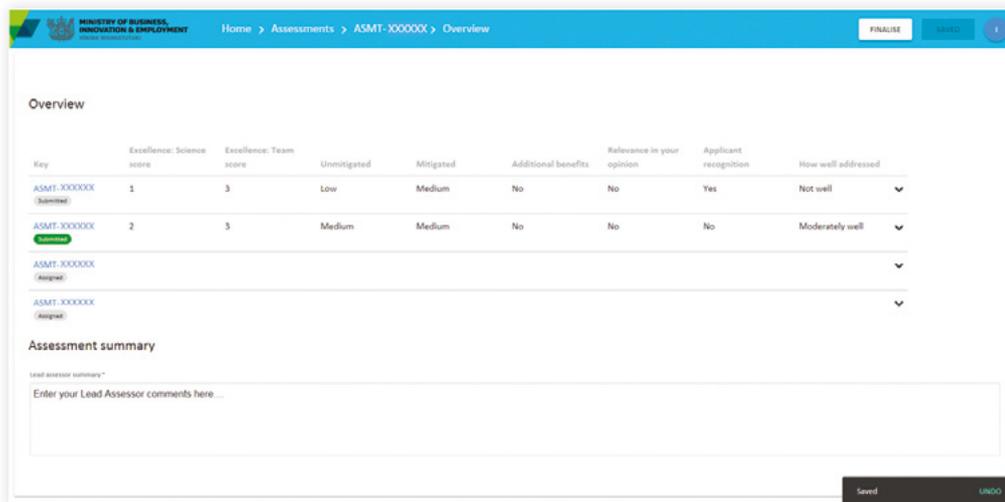
This is for all proposals assigned to you.

### To record your Summary comment:

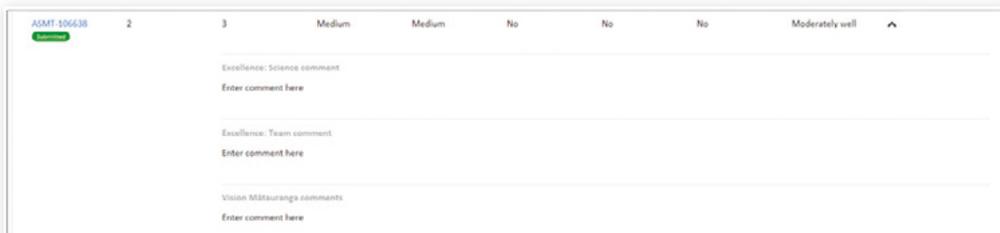
1. Access the **Home** tab > **Investment Assessment** page > **Current** tab.
2. Click a proposal's **View Assessment** link and then click the **View All** button.

This button is **only available** to **Lead Assessors** when they have been alerted to enter their summary comments for a proposal.

A summary screen detailing the assessment comments recorded for that proposal displays.



A separate line displays the recorded assessment of each Assessor assigned to the proposal. Click the symbol  (located to the right of each assessment row) to expand the display and view their individual comments.



You can also click the proposal's number to open and view the **Scoring** page. The status of each assessment is shown – the Lead is displayed in Green.

3. Enter your assessment comments in the **Assessment Summary** field and when complete, click **Finalise**.
4. A summary dialog displays with your assessment comments. If satisfactory to you, click the **Finalise** button. If not, click the **Back** button to return and modify.

## Recording Revised Scores and Rationale

This is for Research Programmes Impact assessments only.

### To record your Revised Scores and rationale:

1. Access the **Home** tab > **Investment Assessment** page > **Current** tab.
2. Click a proposal's **View Assessment** link and then click the **View All** button.

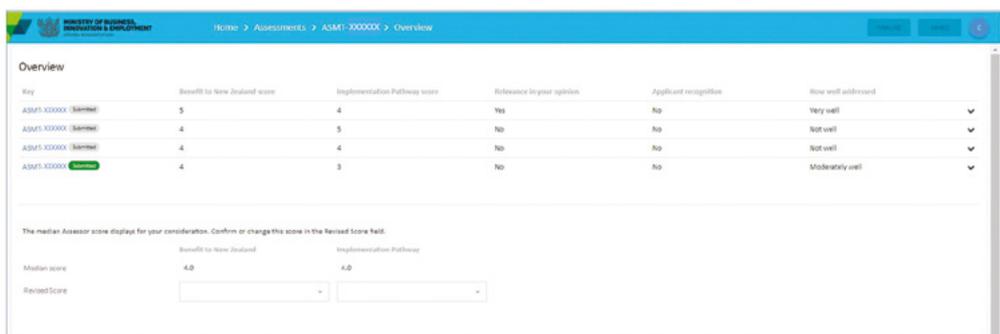
This button is **only available** to **Lead Assessors** when they have been alerted to enter their summary comments for a proposal.

A summary screen detailing the assessment comments recorded for that proposal displays. A separate line displays the recorded assessment of each Assessor assigned to the proposal. Click the symbol  (located to the right of each assessment row) to expand the display and view their individual comments.

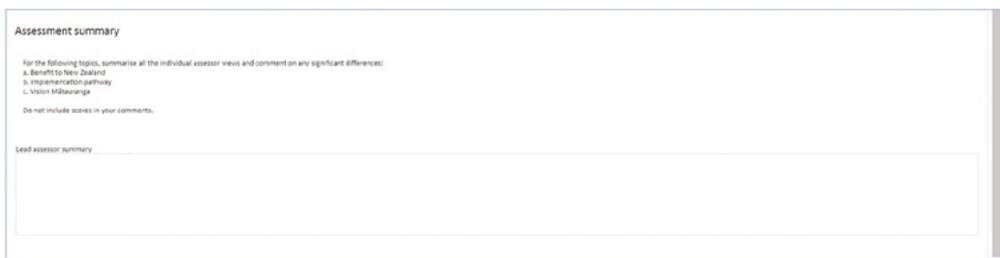
You can also click the proposal's number to open and view the **Scoring** page. The status of each assessment is shown – the Lead is displayed in Green.

3. The median Assessor scores for 'Benefit to New Zealand' and 'Implementation Pathway' criteria display for your consideration. **Confirm** or **change** these scores in the **Revised Score** field.

**Note** that MBIE calculates and uses the **median** of the individual assessment scores. **This is not the mean (average) and is used to reduce the effect of outliers.**



4. In the **Rationale** field, enter the rationale for your **Revised Score**.
5. In the **Assessment Summary** field, enter your Assessor summary comments.



6. When complete, click **Finalise**.
7. A summary dialog displays with your assessment comments. If satisfactory to you, click the **Finalise** button. If not, click the **Back** button to return and modify.





New Zealand's science and innovation systems are critical to boosting the number of knowledge-intensive, internationally-connected firms. The Ministry of Business, Innovation & Employment (MBIE) works to lift business expenditure on research and development, improve the benefits to the wider economy from business development assistance, and harness the potential of the digital economy.

MBIE's funding and support programmes aim to build a high-performing science and innovation system that will transform New Zealand into a more diverse, technologically advanced, smart nation.

For more information on how we invest, see our [Science and Innovation](#) webpages.

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