

Te Pūnaha Hihiko:
Vision Mātauranga Capability Fund

Reporting Guidelines

For Work Programmes funded from 2016



MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT
HĪKINA WHAKATUTUKI

newzealand.govt.nz

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Mā te rongo ka mōhio
Mā te mōhio ka mārama
Mā te mārama ka mātau
Mā te mātau ka ora

*Through perception comes awareness
Through awareness comes understanding
Through understanding comes knowledge
Through knowledge comes well-being*

Te Pūnaha means system or group: the connection point; careful consideration

Hihiko means to be inspired, to be switched on and willing

Mātauranga in the fund's name means knowledge in a broad sense compared to the more specific *mātauranga Māori*

Introduction

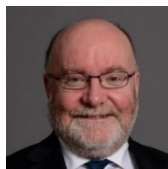
Tēnā koutou

These guidelines provides information on how to interpret and answer questions when submitting your mid-point progress or your final report (reports), using our Investment Management System (IMS) – a secure online portal.

Ko te tūmanako he āwhina i roto
Nā mātou, nā Hikina Whakatutuki



Dr. Max Kennedy



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

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What is Required?

Your reports tell us the status of your contract and the progress you are making towards delivering your work programme. Reports are submitted through IMS. The requirements for reports are based on the Vision Mātauranga Capability Fund Investment Contract.

The reporting template is designed to be updated by the contract holder at the mid-point of the work programme and at the end of the work programme. The reporting template and reporting process is the same for both reports. However the progress report at the mid-point of the work programme should cover the period from the start of the work programme up to the mid-point whereas the final report should cover the whole work programme duration. Reporting is a contractual obligation and scheduled payments will be put on hold until a satisfactory report has been submitted and assessed to a Gold or Green status.

Reporting Deadlines

The VMCF Investment Contract sets out the contractual reporting requirements in detail. The table below provides an overview of the reporting requirements for contracts of 12 months or more.

REPORT TYPE	PERIOD COVERED	DUE DATE
Progress Report	Start date of work programme and last day of the month before the report is due	One month before mid-point of the work programme or as otherwise agreed with us
Final Report	Delivery of the work programme from the start date to the end date	No later than one month after the end date of the work programme

What Happens when I Submit my Report?

We use reports to assess the contract performance and may assign a Red, Amber, Green or Gold (RAGG) status to each contract. Contract holders will be notified of the status assigned to their contracts. The RAGG status is based on:

- > delivery reported against the work programme
- > how successfully we consider the contract will achieve the contracted deliverables and broader results and benefits by the contract maturity date.

What Happens if my Contract gets a Red or Amber Status?

Contracts assigned with a Red or Amber status may require remedial action(s) to be taken. We will follow up the remedial actions to ensure they are completed before the contract status can be re-assigned as Green or Gold and any scheduled or withheld can be released.

We strongly recommend that you tell us of the need for any contract variations as soon as they become apparent and do not wait until a reporting period. Remedial action(s) may create a trigger for contract variations.

For contracts where remedial action(s) are not completed this may trigger a contract termination either at our request or that of the contract holder.

For more information

Your assigned super user is your first port of call for advice on any reporting issues.

To contact us:

Email Reporting queries: VMCF@mbie.govt.nz
IMS queries: imssupport@mbie.govt.nz

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

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How to Complete Your Report

The report has seven sections:

1. Report
2. Public Statement
3. Project Deliverable Status
4. Mentoring Report (*for placement contracts only*)
5. Contract Conditions Report
6. Attestation Letter(s)
7. Co-Funding.

For each section, this document describes what we need, why we need it, and how the information you provide may be used. It indicates any word limits or other standards for your reporting. It also suggests some content you may choose to include if it is appropriate

Section 1: Report

This section details the status and progress you are making in delivering the work programme in your contract. It should be a maximum of 4,000 words (approximately four A4 sized pages) long.

It should provide information in the context of the aim of the fund:

“To strengthen capability, capacity, skills and networks between Māori and the science and innovation system and increase understanding of how research can contribute to the aspirations of Māori organisations and deliver benefit for New Zealand.”

When completing this section, you will need to refer to the Work Programme in your contract.

In this reporting section please:

- > Provide an overview on progress made towards delivering the work programme as described in your contract and include information on highlights over the reporting period.
- > Specify the Vision Mātauranga theme(s) that are relevant to your project. Here, select one or more of the following:
 - Indigenous innovation – contributing to economic growth through distinctive science and innovation
 - Taiao/environment – achieving environmental sustainability through iwi and hapū relationships with land and sea
 - Hauora/health – improving health and social wellbeing
 - Mātauranga – exploring indigenous knowledge and science and innovation.
- > Describe how the work to date has contributed to unlocking the science and innovation potential of Māori knowledge, resources, and people for the benefit of New Zealand.
- > Describe what have you learnt (so far) that will help you carry out Vision Mātauranga relevant research, science, and technology activity in the future.
- > Describe any risks that may affect delivery of the work programme (progress report only). For final reports please tell us what risks materialised during the project and how they were managed.
- > Describe any opportunities that may or have led to additional benefits not expected earlier.
- > If there has been a significant departure from the projected figures or information contained in the work programme explain why this has occurred. The report should also provide any information that would enhance the our understanding of any research performed as part of the Work Programme.

Section 2: Public Statement

In this reporting section, please provide:

- > a short summary of what you have achieved in your project to date suitable for public release. If practical you can copy the *Public statement* from your proposal and paste it here with any changes you wish to make.
- > several “keywords” for increased searchability.

Helpful keywords are:

- > The name of iwi/hapū involved (if applicable)
- > Reference to land area (both region (in English) and rohe/Te Reo names)
- > VM theme relevance – i.e. name of theme
- > Scientific discipline.

Section 3: Project Deliverable Status

In this reporting section, for each of the Impact Statements in your contract select the option that best describes their current status.

SELECT...	IF...
Achieved	the deliverable has been achieved
On track	the deliverable is on track and will be achieved on or before the end date (or the end of the contract).
On track with issues	the deliverable has encountered some issues which may have an adverse impact on the deliverable
Off track	there are severe problems challenging the deliverable which are likely to prevent you from achieving the deliverable.
Not Achieved	the deliverable will not be provided before the end date (or the end of the contract).

Section 4: Mentoring Report – For Placements Contract Holders Only

Only complete this section if you are a Placement Contract Holder only.

In this reporting section, describe the mentoring arrangements which are taking place. These should be similar (or identical to) those described in the Work Programme Agreement.

- > List who usually takes part in the mentoring sessions, and describe how mentoring occurs.
- > Explain what benefit you consider you have derived from the mentoring arrangements and in what way this will influence how you undertake future activities.
- > Describe any additional value the person undertaking the Placement OR either organisation has gained from the mentoring arrangements.

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Section 5: Contract Conditions Report

There may have been special conditions imposed on the project when your contract was issued. If in your contract you have special contract conditions, in this reporting section please tell us how you continue to meet these conditions.

To quickly see if any conditions apply to your contract, in IMS on the project Home tab, select the **Performance management and reporting requirements** menu > **Conditions** option.

Section 6: Attestation from Partner Organisation

For this reporting section, upload a letter (in PDF format) from your partner organisation which states that this report has been prepared in conjunction with that organisation and that the information contained in the report is accurate.

Section 7: Co-funding

In this reporting section, please:

- > Provide an update on the actual amount of co-funding either cash or in-kind received from any partner organisations listed in the work programme.
- > If applicable, specify in your report how any in-kind co-funding has been calculated.
- > If the amount of co-funding received is less than the amount specified in the contract please give a reason for this.

NOTE:

- > In-kind co-funding is non-cash contributions that contribute directly to your programme e.g. the use of equipment, staff time, or access to data.
 - > Actual personnel costs incurred by the partner organisation are treated as in-kind costs, e.g. staff costs met by the partner organisation for an individual who has been placed, or for the mentoring or supervision of the individual who has been placed.
 - > The value of in-kind co-funding should in most cases be the actual cost paid by the co-funder. If necessary, the value may be estimated using either the usual cost of the good or service as advised by the provider or, if the item is not generally traded, your estimate of the out-of-pocket costs sustained by the provider in making the good or service available to you.
-

Entering and Submitting your Report

Reports are entered directly into our Investment Management System (IMS) – a secure online portal. Using the guidance below, you can prepare your report in a word processor of your choice and copy and paste each section's responses into IMS. Your report can then be saved, printed and revised directly in IMS and when complete submitted to us.

For all IMS queries, e-mail or call the Investment Operations Team:

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

Logging into IMS

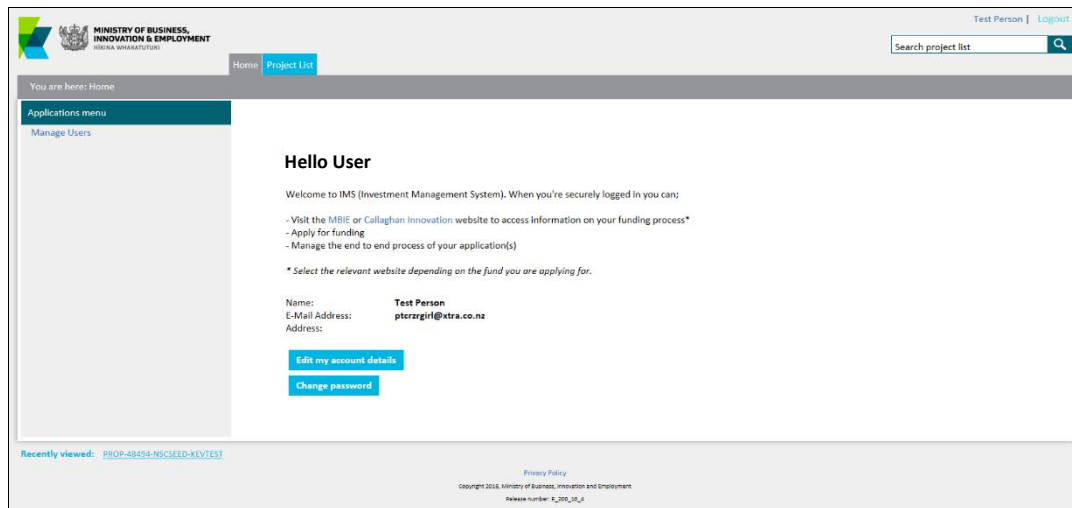
■ To Logon:

1. Click the **IMS Portal** link <https://ims.msi.govt.nz/>. Please use Chrome or Firefox as a browser.
2. Type your Username and Password.

If you've forgotten your password, use the **I've forgotten my password** option.

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

3. Click the **Login Securely** button. The **Home** screen displays.



Logging out of IMS

- **To log out**, click the **Logout** button (located top right of the Home screen).

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Creating and Submitting a Report

■ To create and submit a Report:

1. On the IMS Home screen, click the **Project List** tab.
2. Locate the **project** on which you are reporting

If you cannot locate the project in the list, see your organisation's super user as you may not have the correct access rights.

3. Click the **Client report** link for the appropriate project.
4. Click the **Add** button. The first section of the report you need to complete displays.

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

5. Complete all the reporting fields as per these guidelines. When complete, click the **Save and Next Section** button to save what you have entered and to move to the next section of the report.

You can enter information directly into the fields or copy and paste from an external source, for example an MS Word document.

You may partially complete your report (i.e. fill out some sections) and come back to it later. Your information will be saved as long as you hit the **Save** button before exiting IMS.

Fields with a **black *** must be completed before you can submit your report.

6. Complete all the required sections.
7. When complete, click the **Manage this document** link and then click the **Check my report before submission** button to verify if there are any issues with the report.

If the validation is successful, a **Validation Successful** message displays:

<p>Client report validation result: Successful</p> <p>Status: In progress</p>
--

If errors and/or incomplete fields are detected, a **Validation Unsuccessful** message displays:

<p>Client report validation result: Unsuccessful</p> <p>Please correct the errors below.</p> <p>Reporting</p>
--

8. Click the **first error message** to open the section, make the required corrections/additions and click the **Save** button.

If applicable, repeat for other sections listed on the screen

9. Once you have corrected all of the errors and / or added all of the missing information click the **Print and manage** link then the **Check my application before submission** button again.
10. Click the **Manage this document** link, then click the:
 - **Submit for QA** button (standard users) to submit the report to your super user for review and final submission to IMS.
 - **Submit to IMS** button (Super Users only) to submit the report. After this you will not be able to make any changes to the report.

Administering Reports

There are key features in IMS that enable you to quickly see where you are in the reporting process. At any point in time you can easily check the:

- > Status of your report
- > The number of days until the report is due.

The status of your report displays on the **Project List** tab and at the top of the **Report** screen.

STATUS	INDICATES THE REPORT
In progress	Has been created and is under completion.
In progress - overdue	Is incorrectly referencing the wrong time period and has been tagged by the system as an unfinished report for a previous year. Contact your Super User or your MBIE lead contact.
Submitted for QA	Has been completed and submitted to your Super User for QA.
Submitted to IMS	Has been submitted to us.

Checking When Your Report Is Due

The status bar at the top of the screen displays the current status of your report and how long you have until it must be submitted.

Project status: **In progress** The report has not been submitted (You have 15 day(s) to submit the Project)

Printing Reports

Printing a report enables you to check and review the details. The details entered for your report are captured in a PDF which you can then print and/or save to a location of your choice.

- To print, click the **Print** icon  (located top right).

Reopening a Report for Further Changes

When a report has been **Submitted for QA**, it is the responsibility of your host Super User to perform a final QA and then submit the report to us.

If further changes are required, before it is submitted to us, Super Users can re-open the report using the **Print and Manage > More Actions > Return for rework** option.

If rework is required and the report has been submitted to us, contact us.

