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

Contestable Investments
Annual Reporting Guidelines

For the period 2020 – 2021

Contents

Key Changes Made to this Reporting Period

In recognition of the on-going impact of COVID-19 on the research community, we (the Science System Investment and Performance branch of the Ministry of Business, Innovation and Employment (MBIE)) have made further changes which aim to reduce your reporting requirements.

If you are familiar with our annual reporting process, you will notice that:

> We have removed the requirement for all holders of Smart Ideas contracts to provide detailed annual progress reports. The annual report now takes the form of a brief, mandatory annual declaration of progress.

> Final reports for Endeavour Research Programmes and all other funds will continue to be gated into annual reporting.

> Final reports for Endeavour Smart Ideas contracts will be required but are no longer submitted during annual reporting. Separate guidelines for Smart Ideas final reporting will be published mid to late August 2021).

> Submission blackouts for contract variation requests, before or during the annual reporting period, are no longer in effect. Requests for contract variations can be now made throughout the year. However, for contract variation requests to be considered in the assessment of annual reports, we must receive them before 1 July 2021.

> For contracts other than Smart Ideas, where the final report remains gated into the Annual Reporting period, the word limit for the Annual Update section of the Client Report has been increased.

> For contracts other than Smart Ideas, we have reintroduced the RAGG (Red, Amber, Gold, and Green) method of evaluating project progress.

> We have updated the COVID-19 Information section to help us understand the on-going impact of the pandemic on your project.

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

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Introduction

These reporting guidelines describe how we monitor contract performance for the following funds and investment mechanisms:

> Contestable funds which includes the Endeavour Fund. S*ee Appendix A for a full list.*
> Partnerships Scheme
> PreSeed Accelerator Fund (PSAF) and Commercialisation Partner Network (CPN).

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

These guidelines detail:

> The required report content
> How to complete the Endeavour Smart Ideas Annual Declaration of Progress
> How to report on the 2020 Endeavour Emergency Response Scheme *(if applicable)*
> How we assess your report
> How to enter and submit your report in our secure online Investment Management System (IMS).

Key Dates

1 July 2021	IMS opens for Contestable funds and Partnerships Scheme annual reports
2 August 2021	IMS opens for PSAF and CPN annual reports
31 August 2021	Final submission date for all annual reports
November 2021	Feedback and notification of any remedial action(s) required provided
28 February 2022	RAGG status finalised

Contact Details

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

Email General queries: annualreporting@mbie.govt.nz
     IMS queries: imssupport@mbie.govt.nz

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

You can also subscribe to our Alert e-newsletter.

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[1] http://www.legislation.govt.nz/act/public/1989/0044/latest/DLM160809.html

What Happens with my Report?

The information provided in your annual report is used alongside any contract variation requests to assess the performance of your contract's Work Programme, and to identify any areas that may require remedial action (that will not resolved in full by any contract variation requests already received). Note that:

> Contract variation requests can be submitted throughout the year to IMSVariations@mbie.govt.nz.

> For contract variation requests to be considered in the assessment of your Work Programme, **we must receive them on or before 1 July 2021**. Approval of requests prior to this date is no longer required.

How is the Performance of my Work Programme Assessed?

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

REPORTING ASSESSMENT CRITERIA	
If:	**the following RAGG Status is assigned**
your contract is performing above expectation, that is: > it is on track to deliver the Work Programme deliverables; and > the broader results and benefits to end users are above expectations and/or at a level of quality well above expectation or well ahead of time.	**GOLD**
your contract is performing satisfactorily, that is: > it is on track to deliver the Work Programme deliverables; and > the broader results and benefits are in line with expectations; and > it has delivered or will deliver on time and at the expected level of quality.	**GREEN**

there are issues with the contract, that is:
 	
> more information is required to make an assessment; and/or
> a variation to the contract[2] is required with the objective of getting the project back on track; and/or
> contract condition(s) (if any) have not been satisfied on time; and/or
> some action is required to get the contract back on track, for example, some issues may have been identified which means that the Work Programme deliverables and broader results and benefits:
   – have not been delivered on time AND we have not received an acceptable contract variation request that fully resolves the issues; and/or
   – are highly unlikely to be delivered by the time the contract matures, or they will be at a level of quality below expectation.
	AMBER

there are serious issues with the contract that require action by the organisation and/or intervention by us, that is: > the Work Programme deliverables and broader results and benefits will be severely under-delivered in terms of quality and timeliness, or there is a risk that the contract may fail completely; and/or > immediate action/intervention is required to preserve the value of our investment.	**RED**

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[2] This is in addition to any contract variation requests received prior to IMS opening for annual reporting.

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

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

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

Smart Ideas Reporting Requirements

All holders of Endeavour Smart Ideas contracts and Contestable Research Fund – Smart Ideas contracts are no longer required to provide detailed annual progress reports. Instead, an **Annual Declaration of Progress** report**,** which will significantly reduce the reporting requirement, is now required.

The Reporting Period

The Annual Declaration of Progress report covers the Work Programme period **1 July 2020 to 30 June 2021** *(or the end date of the contract, if earlier)* and is completed and submitted in IMS.

The Report Content

When completing the Annual Declaration of Progress, you will be asked to enter the Work Programme reporting period, and confirm that the following contract conditions have being met:

> There has not been significant* departure from the projected figures or information contained in the Work Programme Agreement for all Critical Performance Indicators, and total Full Time Equivalents, as specified in the Work Programme Agreement.

> Information in the Public Statement of the Work Programme is still current.

> The Work Programme, including progress towards delivering each Impact Statement, Critical Step, or Research Aim, is on track.

 * significant departure includes:
 - greater than 25% change in direct co-funding, and/or
 - greater than 25% change in total Full Time Equivalents, and/or
 - greater than 25% change in Work Programme.

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

See page 18 for instruction on how to access, enter and submit reports in IMS.

Final Reports

Final reports for Smart Ideas contracts are now required to be submitted in accordance with the terms of the contract (typically within one month following the end date of the contract). You will be able to submit your final reports **from 2 September 2021** onwards.

For Smart Ideas contracts with an end date **before 3 August 2021**, final reports should be submitted between **2 September and 1 October 2021**.

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

Separate guidelines for Smart Ideas final reporting will be published mid to late August 2021.

The guidelines in this section are for Smart Ideas contracts only.

— 6 Contestable Funds Reporting Requirements

This section details the requirements for annual reports for contracts receiving funding from a Contestable fund with the exclusion of *Smart Ideas* contracts See Appendix A for a full list of the Contestable funds covered in this reporting period.

Reports are entered and submitted in IMS (*see page 18 for more information*). Once you have entered your report, submit it to your Host Superuser for a quality assurance check. When complete they will finalise and submit your report to us for assessment. Your Host Superuser must be authorised by your organisation to declare on your behalf that:

> The submission is a true and correct record of the status of the Work Programme for the reporting period; and

> The submission accurately reflects the state of the whole investment and includes all relevant information.

We recommend that you:

> Read through this section to fully understand what is required for this reporting period.

> Draft your report in a word processor of your choice and then when ready to submit, copy and paste the necessary segments into the IMS fields where directed and upload any supporting documentation. Note that word limits may apply to some report sections.

The Reporting Period

For contracts **maturing after 30 September 2021**, your annual report must cover the Work Programme period **1 July 2020** (*or the start date of the Work Programme, whichever is later*) to **30 June 2021**.

For contracts **maturing on or before 30 September 2021,** your annual report must cover the Work Programme period **1 July 2020** *(or the start date of the Work Programme, whichever is later)* to **30 September 2021** *(or the end date of the Work Programme if earlier)*. You are not required to submit a final report at the end of the contract, however, you must anticipate the remaining months of the contract and enter your expected results in your annual report.

The Report Content

The following details the required reporting content. Specific instruction on how to enter this information into IMS is also noted where appropriate. For general instruction on how to access, enter and submit reports see page 18.

Endeavour Emergency Response Scheme

If you received a 6-month funded extension under the 2020 Endeavour Emergency Response Scheme (EERS), you are required to report on how the additional funds provided were spent. Enter this information in the **Project Deliverable Status** section against the **EERS Impact Statement**. Note that a budget or itemisation of money spent is not required.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
PROGRESS REPORTING	
Annual update	Grouped under the following headings, provide clear and succinct details of your achievements during the reporting period: > Outcome Benefits to New Zealand > Implementation Pathway > Research, Science and Technology (RS&T) Benefits to New Zealand > Other information. *Limit for **annual** reports 1500 words* *Limit for **final** reports 4500 words*
Publicly available information	Provide a short summary of your project, i.e. what you expect to achieve. This information may be used in relevant media releases and for Ministerial reporting. You can include: > Up to five key achievements that occurred during this reporting period > A link to your website for further information. *Limit 1000 words*
Key achievements	Tell us of any sensitive key achievements for the reporting period you wish to remain confidential. *Limit 200 words per entry*
Project deliverable status	Tell us the status of each of your Work programme deliverables during the reporting period. To update the status in IMS, click the **Short Title** of the deliverable and then enter the status, reason and any actions undertaken. **STATUS OPTIONS** **If a deliverable has passed its due date, choose either:** > Achieved > Not Achieved **If a deliverable has not passed its due date, choose one of:** > Achieved (*i.e. achieved ahead of due date*) > On Track (*i.e. the deliverable is not yet due*) > On Track with Issues (*i.e. the deliverable has issues that may jeopardise future delivery*) If you select **On Track with Issues** or **Not Achieved**, provide a reason and any remedial action that you plan to take. If a deliverable was impacted by COVID-19 during the reporting period, provide details on: > How it was affected in the **Reason** field > Any remedial plans that you have in the **Action** field. *Limit 75 words per entry* **Endeavour Emergency Response Scheme** If you received a 6-month funded extension under the EERS, against the EERS Impact Statement tell us how the additional funds provided were spent. If you received a 6-month unfunded bulk contract variation, you will need to determine the new deliverable due date. To do this add the extension amount to the end date. *Limit 150 words per entry*

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REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
Work Programme Conditions	If you have any contractual conditions, tell us how you continue to meet these conditions or provide supporting documentation that confirms the conditions are being met. To check your contract conditions in IMS, select the **Performance management and reporting requirements** menu > **Conditions** section.
OUTPUTS	
Knowledge transfer	Provide information on: > Workshops and hui > Commissioned reports > Substantive information sharing and advice. For each type of knowledge transfer you want to report on, list the total number of events or deliverables.
Non peer-reviewed published articles	Specify the total number of articles and reports about the contract that have been published during this reporting period.
New products, processes and services	Specify the number of any new product, process or service that has either been introduced to market, or implemented by industry, government, other research organisations/users, or the community during the reporting period.
Science quality	For the reporting period, specify the number of: > Peer-reviewed journal articles accepted for publication > Articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication > Papers or abstracts listed in publicly available conference proceedings > Recognised science achievements for research awarded > Oral feature presentations delivered by formal invitation at a recognised science forums > Published theses by postgraduate students employed on the project.
Provisional patent and plant variety rights (PVR) applications	Specify the number of any intellectual property (IP) items for which provisional protection is being sought. For example, the number of: > Patent or Plant Variety Right (PVR) applications > Inventions or plant types for which you have lodged a patent or PVR application in one or more countries > Patent Cooperation Treaty (PCT) applications > Applications for full patents in one or more countries, administratively coordinated by the PCT, but granted in each country at the discretion of that country's patent regulatory body.
Patent and PVR grants	Specify the number of any patents granted in one or more countries as a result of completing the PCT process, or which have not gone through the PCT process but have been granted as a result of a direct application to the Intellectual Property Office of New Zealand or the equivalent body in another country. For example, the number of: > Patents or PVRs that have been granted, and in which countries they have been granted > Inventions for which you have been *granted* a patent or PVR in one or more countries, and in which countries.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 *This is a guide and is not intended to constrain the information you provide.*
REVENUE AND CONTRACTING	
Co-funding and subcontracting	Specify the actual amount of co-funding or subcontracting for this reporting period. In IMS, the **Listed Amount** is the total amount across all Impact Statements listed in the contract. This is an automatically generated pro-rated GST exclusive calculation for the reporting period, based on a linear model across the life of the project. To enter the **Actual Amount** for the reporting period, click **Select type** to open the item and then enter the: > actual amount received (*if co-funding*), or > paid (if subcontracting). If the amount received (*if co-funding*) or invoiced (*if subcontracting*) is not linear across the life of the project, a discrepancy between the **Listed Amount** and the **Actual Amount** may result. If this occurs, enter further details in the **Comment** field. If the Actual Amount you entered is less than 80% or more than 120% of the Listed Amount, explain this in the **Comment** field. If co-funding has been reduced or not achieved at all: > Indicate how (*or with what*) you intend to replace it, and/or > Demonstrate that there is still end user support for the research. You can enter any additional co-funding/subcontracting (*i.e. not listed in your contract*) that you have obtained by clicking the **Add new** button at the bottom of the IMS reporting section.
Revenue	Tell us of any additional revenue that your organisation has obtained as a result of: > New products, processes or services > Revenue obtained from the sale of IP or consulting > Additional contracts won on the basis of knowledge generated by this contract.
FORMAL COLLABORATIONS	
Collaborations by country	Tell us of any collaborations with overseas organisations, by country.
CAPABILITY BUILDING	
Students	Specify the number of Masters, Doctorate and Post-doctoral researchers working on the project.
Secondments to or from end users	Specify the number of end users that have been seconded from or to your organisation.
END USER RELATIONSHIPS	
End user details	Tell us about the organisations you have worked with during the reporting period in relation to this project. Contact details are only required if the end user is new to the project.
SPINOUTS AND STARTUPS	
Spinouts and startups	Tell us the details of any spinouts and startups that have been established during the reporting period, including the name and contact details of the new entity(ies). Spinouts and startups are organisations that will promote commercialisation opportunities over the life of the contract.

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REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
COVID-19 INFORMATION	

COVID-19 Information	Provide us with the following information on COVID-19 impacts.

	IN IMS:
Was your contract impacted by COVID-19 in this reporting period?	Answer either Yes or No.
If your contract was impacted by COVID-19 in the reporting period	Rate that impact on a scale of 0 (*No impact*) to 5 (*Major*).
Do you anticipate future impact to this contract from COVID-19?	Answer either Yes or No.
Which areas were impacted by COVID-19 during this reporting period?	Select from the following all that apply: > Outcome(s) of the contract > Co-funding contributions from partners or end users > Ability to connect with stakeholders and end-users > Connection to international collaborators > Students/researchers impacted by border closures > Other

Partnerships Scheme Reporting Requirements

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

Annual reports are entered and submitted in IMS (*see page 18 for more information*). Once you have entered your report into IMS, you submit it to your Host Superuser for a quality assurance check. When this is complete they will then finalise and submit your report to us for assessment. Your Host Superuser must be authorised by your organisation to declare on your behalf that:

> The submission is a true and correct record of the status of the Work Programme for the reporting period; and

> The submission accurately reflects the state of the whole investment and includes all relevant information.

We recommend that you:

> Read through this section to fully understand what is required for this reporting period.

> Draft your report in a word processor of your choice and then when ready to submit, copy and paste the necessary segments into the IMS fields where directed and upload any supporting documentation. Note that word limits may apply to some report sections.

The Reporting Period

For contracts **maturing after 30 September 2021**, your annual report must cover the Work Programme period **1 July 2020** (*or the start date of the Work Programme, whichever is later*) to **30 June 2021**.

For contracts **maturing on or before 30 September 2021,** your annual report must cover the Work Programme period **1 July 2020** (*or the start date of the Work Programme, whichever is later)* **to 30 September 2021** (*or the end date of the Work Programme if earlier)*. You are not required to submit a final report at the end of the contract, however, you must anticipate the remaining months of the contract and enter your expected results in your annual report.

The Report Content

The following details the required reporting content. Specific instruction on how to enter this information into IMS is also noted where appropriate. For general instruction on how to access, enter and submit reports see page 18.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
PROGRESS REPORTING	
Annual update	Grouped under the following headings, provide clear and succinct details of your achievements during the reporting period: > Outcome Benefits to New Zealand > Implementation Pathway > Research, Science and Technology (RS&T) Benefits to New Zealand > Other information. *Limit for **annual** reports 1500 words* *Limit for **final** reports 4500 words*

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REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
Publicly available information	Provide a short summary of your project, i.e. what you expect to achieve. This information may be used in relevant media releases and for Ministerial reporting. You can include: > Up to five key achievements that occurred during this reporting period > A link to your website for further information. *Limit 500 words*
Key achievements	Tell us of any sensitive key achievements for the reporting period you wish to remain confidential. *Limit 200 words per entry*
Performance indicators	Tell us the status of each performance indicator.
Project deliverable status	Tell us the status of each of your Work programme deliverables during the reporting period. To update the status in IMS, click the **Short Title** of the deliverable and then enter the status, reason and any actions undertaken. **STATUS OPTIONS** |	
If a deliverable has passed its due date, choose either	> Achieved > Not Achieved
If a deliverable has not passed its due date, choose one of:	> Achieved (*i.e. achieved ahead of due date*) > On Track (*i.e. the deliverable is not yet due*) > On Track with Issues (*i.e. the deliverable has issues that may jeopardise future delivery*) | If you select **On Track with Issues** or **Not Achieved**, provide a reason and any remedial action that you plan to take. If a deliverable was impacted by COVID-19 during the reporting period, provide details on: > How it was affected in the **Reason** field > Any remedial plans that you have in the **Action** field. If you received a 6-month unfunded bulk contract variation, you will need to determine the new deliverable due date by adding the extension amount to the end date. *Limit 75 words per entry*
Work programme conditions	If you have any contractual conditions, tell us how you continue to meet these conditions or provide supporting documentation that confirms the conditions are being met. To check your contract conditions in IMS, select the **Performance management and reporting requirements** menu > **(Work Programme) Conditions** section.
Key Performance Indicators (2018 onwards)	Tell us the status of your Key Performance Indicators.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
OUTPUTS	
Knowledge transfer	Provide information on: > Workshops and hui > Commissioned reports > Substantive information sharing and advice. For each type of knowledge transfer you want to report on, list the total number of events or deliverables.
Non peer-reviewed published articles	Specify the total number of articles and reports about the contract that have been published during the reporting period.
New products, processes and services	Specify the number of any new product, process or service that has either been introduced to market, or implemented by industry, government, other research organisations/users, or the community.
Science quality	For the reporting period, specify the number of: > Peer-reviewed journal articles accepted for publication > Articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication > Papers or abstracts listed in publicly available conference proceedings > Recognised science achievements for research awarded > Oral feature presentations delivered by formal invitation at a recognised science forum > Published theses by postgraduate students employed on the project.
Provisional patent and plant variety rights (PVR) applications	Specify the number of any intellectual property (IP) items for which provisional protection is being sought. For example, the number of: > Patent or Plant Variety Right (PVR) applications > Inventions or plant types for which you have lodged a patent or PVR application in one or more countries > Patent Cooperation Treaty (PCT) applications > Applications for full patents in one or more countries, administratively coordinated by the PCT, but granted in each country at the discretion of that country's patent regulatory body.
Patent and PVR grants	Specify the number of any patents granted in one or more countries as a result of completing the PCT process, or which have not gone through the PCT process but have been granted as a result of a direct application to the Intellectual Property Office of New Zealand or the equivalent body in another country, e.g. the number of: > Patents or PVRs that have been granted, and in which countries they have been granted > Inventions for which you have been *granted* a patent or PVR in one or more countries, and in which countries.
REVENUE AND CONTRACTING	
Co-funding and subcontracting	Specify the actual amount of co-funding or subcontracting for the reporting period. In IMS, the **Listed Amount** is the total amount across all Impact Statements listed in the contract. This is an automatically generated pro-rated GST exclusive calculation for the reporting period, based on a linear model across the life of the project.

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REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
	To enter the **Actual Amount** for the reporting period, click **Select type** to open the item and then enter the: > actual amount received (*if co-funding*),or > paid (*if subcontracting*). If the amount received (if co-funding) or invoiced (if subcontracting) is not linear across the life of the project, a discrepancy between the Listed Amount and the Actual Amount may result. If this occurs enter further details in the **Comment** field. If the Actual Amount you entered is less than 80% or more than 120% of the Listed Amount, you must explain this in the **Comment** field. If the annual amount of co-funding or subcontracting has been affected by COVID-19, provide where possible, for the organisation(s) affected, a forecast for the remaining life of the contract in the **Comment** field. You can enter any additional co-funding/subcontracting (*i.e. not listed in your contract*) that you have obtained by clicking the **Add new** button at the bottom of the IMS reporting section.
Revenue	Tell us of any additional revenue that your organisation has obtained as a result of new products, processes or services, or revenue obtained from the sale of IP or consulting or additional contracts won on the basis of knowledge generated by this contract.
FORMAL COLLABORATIONS	
Collaborations by country	Tell us of any collaborations with overseas organisations, by country.
CAPABILITY BUILDING	
Students	Specify the number of Masters, Doctorate and Post-doctoral researchers working on the project.
Secondments to or from end users	Specify the number of researchers that have been seconded to end-users and the number of end-users that have been seconded to the project.
END USER RELATIONSHIPS	
End user details	Tell us about the organisations you have worked with during the reporting period in relation to this project. Only provide contact details if the end user is new to the project.
SPINOUTS AND STARTUPS	
Spinouts and startups	Tell us the details of any spinouts and startups that have been established during the reporting period including the name and contact details of the new entity(ies). Spinouts and startups are organisations that will promote commercialisation opportunities over the life of the contract.

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
COVID-19 INFORMATION	

COVID-19 Information	Provide us with the following information on COVID-19 impacts.

IN IMS:	
Was your contract impacted by COVID-19 in this reporting period?	Answer either Yes or No.
If your contract was impacted by COVID-19 in the reporting period	Rate that impact on a scale of 0 (*No impact*) to 5 (*Major*).
Do you anticipate future impact to this contract from COVID-19?	Answer either Yes or No.
Which areas were impacted by COVID-19 during this reporting period?	Select from the following all that apply: > Outcome(s) of the contract > Co-funding contributions from partners or end users > Ability to connect with stakeholders and end-users > Connection to international collaborators > Students/researchers impacted by border closures > Other

Commercialisation Partner Network and PreSeed Accelerator Fund Reporting Requirements

This section details the annual reporting requirements for contract holders receiving funding from either the Commercialisation Partner Network (CPN) or the PreSeed Accelerator Fund (PSAF).

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

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

> The submission is a true and correct record of the status of the Key Performance Indicators for the reporting period; and

> The submission accurately reflects the state of the whole investment and includes all relevant information.

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

The Reporting Period

Your annual report must cover the Work Programme period **1 July 2020** to **30 June 2021**.

The Report Content

The following details the required reporting content. Specific instruction on how to enter this information into IMS is also noted where appropriate. For general instruction on how to access, enter and submit reports see page 18.

REPORT SECTION	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 *This is a guide and is not intended to constrain the information you provide.*
PROGRESS REPORT	
Reporting Dates	The reporting period.
Key Performance Indicators	The status of each of your Key Performance Indicators.:

IF:	SELECT EITHER:
The KPI is ongoing and requires reporting on each year:	> On Track > Off Track
The KPI is in the final year:	> Achieved > Not Achieved

REPORT SECTION	CONTENT REQUIRED FOR THE REPORTING PERIOD 2020 – 2021 This is a guide and is not intended to constrain the information you provide.
	If you have selected **Off Track**, or **Not Achieved**, provide a reason and any remedial action that you plan to take. Once you have entered this in IMS you must click **Save** before moving to the next reporting section.
Additional Information	Provide further information if needed on: > Your achievements/highlights > Any opportunities > Any future challenges to delivery.

— 18 Entering and Submitting Annual Reports

Annual reports (including Smart Ideas Annual Declarations of Progress) are entered and submitted in IMS.

YOU CAN ENTER AND SUBMIT:	BETWEEN:
Contestable funds and Partnerships Scheme annual reports	**1 July 2021 and 31 August 2021**
PSAF and CPN annual reporting	**2 August 2021 and 31 August 2021**

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

> The submission is a true and correct record of the status of the Work Programme for the reporting period; and

> The submission accurately reflects the state of the whole investment and includes all relevant information.

For all IMS queries, contact the Investment Operations Team:

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

Accessing IMS

■ **To log in to IMS:**

For first time users:

If you have not used IMS before, you need to complete and email an IMS registration form to imssupport@mbie.govt.nz. On acceptance, you will receive a Username, temporary password and instruction on how to access IMS.

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

   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.

For existing users:

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

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

■ To enter and submit an annual report:

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1. Click the **Project List** tab to open your organisation's **Contract** list.

2. Locate the **Contract** on which you are reporting.

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

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

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

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

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

   For detailed annual reports you can copy and paste your prepared information directly into IMS (not required for Smart Ideas contracts).

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

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

   Mandatory fields are marked with an asterisk.

   > Fields with a red * must be completed before you can save and close the current section.
   > Fields with a black * must be completed before you can submit your report.

   We recommend that you regularly click the Save button to save work as you are going.

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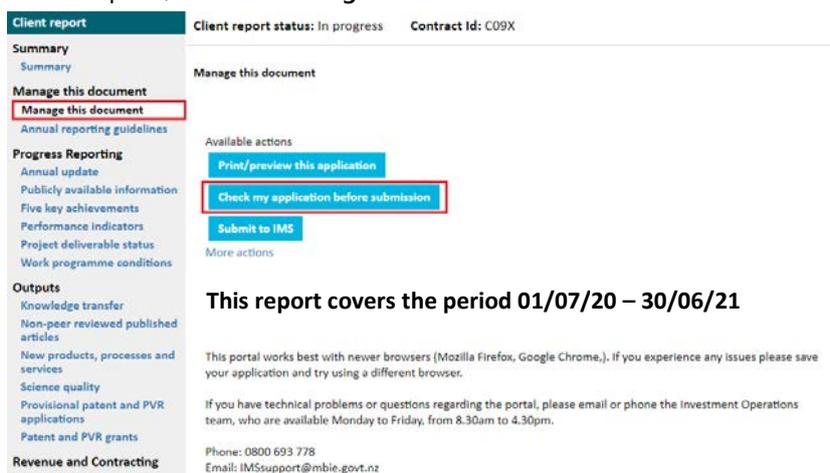Symbols alongside each section in the navigation panel allow you to easily check the completeness of your submission.

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

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

Remember to:

> Adhere to any specified word limits.

> Upload any supporting documentation; these documents must be in either Word™ or PDF form (not available for Smart Ideas contracts).

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

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

> If the validation is successful a **Validation Successful** message displays.

> If errors and/or incomplete fields are detected, a **Validation Unsuccessful** message displays with links to any issues found for correction

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

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

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

If you clicked **Submit to IMS** your proposal has been successfully submitted and is now listed on the **Project List** tab with a status of **Submitted to MBIE**. If you clicked **Submit to QA** you will need to ensure that your Superuser performs their QA and submits your report before 31 August 2021.

Appendix A – The Contestable Funds Under These Guidelines

The following table lists all the Contestable funds to which these reporting guidelines apply.

FUND NAME	FUNDING YEAR
Biological Industries - Enabling Technologies	2014
Biological Industries - Targeted Research	2014
Contestable Research Fund - Research Programmes	2016
Health and Society - Targeted Research	2014 2015
High Value Manufacturing and Services – Enabling Technologies	2014
High Value Manufacturing and Services - Targeted Research	2014 2015
Endeavour Fund – Research Programmes	2017 2018 2019 2020
Endeavour Fund – Smart Ideas	2017 2018 2019
Contestable Research Fund - Smart Ideas	2016
Partnerships	2013 2014 2015 2016 2017 2018
PreSeed Accelerator fund (PSAF)	2019
Commercialisation Partner Network (CPN)	2019