



MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT  
HIKINA WHAKATUTUKI

# SMART IDEAS FINAL REPORTING GUIDELINES – CONTESTABLE INVESTMENTS

**FOR  
REPORTS  
DUE TO  
30 JUNE 2023**

Te Kāwanatanga o Aotearoa  
New Zealand Government



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

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

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

### **MORE INFORMATION**

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

### **DISCLAIMER**

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

**ONLINE: ISBN 978-1-99-104154-8**

**AUGUST 2022**

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# Introduction

These reporting guidelines describe how we monitor contract performance for the Smart Ideas investment mechanism.

Section 27 of Part 3 of the Public Finance Act 1989 requires us to report on the performance of Vote Business, Science and Innovation. Final reports also help us understand and report to the Science Board on contract achievements.

These guidelines detail:

- how we assess your report and performance
- the required report content
- how to report on the 2020 Endeavour Emergency Response Scheme (if applicable)
- how to enter and submit your report in our secure online Investment Management System (IMS).

## Contact Details

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

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

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

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

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

## How is the Performance of my Project Assessed?

The information provided in your final report is used alongside your contract to assess the performance of your contract's Work Programme. Past annual reports may be consulted if clarification is required.

We use the following assessment criteria to assign your contract an assessment rating in the form of a Red, Amber, Green, or Gold (RAGG) status that best reflects contract performance. Contract holders are notified of their results by the contract's Investment Manager once the report has been assessed and approved.

REPORTING ASSESSMENT CRITERIA	
IF:	THE FOLLOWING RAGG STATUS IS ASSIGNED
your contract has performed above expectation, that is: <ul style="list-style-type: none"> <li>it has delivered the Work Programme deliverables; and</li> <li>the broader results and benefits to end users are above expectations and/or at a level of quality well above expectation</li> </ul>	<b>GOLD</b>
your contract has performed satisfactorily, that is: <ul style="list-style-type: none"> <li>it has delivered the Work Programme deliverables at the expected level of quality and the broader results and benefits are in line with expectations.</li> </ul>	<b>GREEN</b>
there are issues with the contract, that is: <ul style="list-style-type: none"> <li>more information is required to make an assessment; and/or</li> <li>contract condition(s) (if any) have not been satisfied; and/or</li> <li>the Work Programme deliverables and broader results and benefits:               <ul style="list-style-type: none"> <li>were not delivered; and/or</li> <li>were delivered at a level of quality below expectation.</li> </ul> </li> </ul>	<b>AMBER</b>
there are serious issues with the contract, that is: <ul style="list-style-type: none"> <li>the Work Programme deliverables and broader results and benefits were severely underdelivered in terms of quality, timeliness and or the contract failed completely.</li> </ul>	<b>RED</b>

If your contract is assigned a preliminary AMBER or RED RAGG status, remedial action may be required before we can assess the final RAGG status. In this event, we will discuss with you what that may involve and an agreed period of time

## Reporting Requirements

Smart Ideas contracts with an end date between **30 June 2022 and 1 September 2022**, should submit a final report between **2 September and 1 October 2022**. All other Smart Ideas contracts should submit a final report in accordance with the terms of the contract (typically, within one month of the contracted end date).

This section details the requirements for final reports for Smart Ideas contracts. Reports are entered and submitted in IMS (*see page 9 for more information*). Once you have entered your report, submit it to your Host Super User for a quality assurance check. When complete, they will finalise and submit your report to us for assessment.

We recommend that you 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

The final report covers the whole Work Programme period - from the start of your contract to the end of your contract.

**The report must include final updates on the Work Programme Agreement for all Critical Performance Indicators; total Full Time Equivalents as specified in the Work Programme Agreement; and delivery of each Impact Statement, Research Aim, or Critical Step.**

## The Report Content

The following table details the required reporting content.

Note that if you received a 6-month funded extension under the 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 (if applicable).

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD
This is a guide and is not intended to constrain the information you provide.	
<b>Progress Reporting</b>	
<b>Final update</b>	<p>Grouped under the following headings, provide clear and succinct details of your achievements during the reporting period:</p> <ul style="list-style-type: none"> <li>• Outcome Benefits to New Zealand</li> <li>• Implementation Pathway</li> <li>• Research, Science and Technology (RS&amp;T) Benefits to New Zealand</li> <li>• Other information.</li> </ul> <p style="text-align: right;"><i>Limit 4500 words</i></p>
<b>Publicly available information</b>	<p>Provide a short summary of your project, i.e., what you have achieved. This information may be used in relevant media releases and for Ministerial reporting.</p> <p>You can include:</p> <ul style="list-style-type: none"> <li>• up to five key achievements that occurred during this reporting period</li> <li>• a link to your website for further information.</li> </ul> <p style="text-align: right;"><i>Limit 1000 words</i></p>
<b>Key achievements</b>	<p>Any sensitive key achievements for the reporting period you wish to remain confidential.</p> <p style="text-align: right;"><i>Limit 200 words per entry</i></p>
<b>Project deliverable status</b>	<p>Tell us the status of each of your Work programme deliverables during the reporting period. To update the status in IMS, click the <b>Short Title</b> of the deliverable and then enter the status, reason, and any actions taken.</p> <p>Status options:</p> <ul style="list-style-type: none"> <li>• Achieved</li> <li>• Not Achieved</li> </ul> <p>If you select <b>Not Achieved</b>, provide a reason.</p> <p>If a deliverable was impacted by COVID-19 during the reporting period, provide details on:</p> <ul style="list-style-type: none"> <li>• How it was affected in the <b>Reason</b> field</li> <li>• Any remedial plans that you have in the <b>Action</b> field.</li> </ul> <p style="text-align: right;"><i>Limit 75 words per entry</i></p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD
	<p>This is a guide and is not intended to constrain the information you provide.</p> <p>Endeavour Emergency Response Scheme (if applicable) 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. A budget or itemisation of money spent is not required.</p> <p style="text-align: right;"><i>Limit 150 words per entry</i></p>
<b>Work Programme Conditions</b>	<p>If you had any contractual conditions, tell us how these conditions were satisfied, or provide supporting documentation that confirms the conditions have been met.</p> <p>To check your contract conditions in IMS, select the <b>Performance management and reporting requirements menu &gt; Conditions</b> section.</p>
<b>Outputs</b>	
<b>Knowledge transfer</b>	<p>Provide information on:</p> <ul style="list-style-type: none"> <li>• Workshops and hui</li> <li>• Commissioned reports</li> <li>• Substantive information sharing and advice.</li> </ul> <p>For each type of knowledge transfer you want to report on, list the total number of events or deliverables.</p>
<b>Non-peer-reviewed published articles</b>	<p>Specify the total number of articles and reports about the contract that have been published during this reporting period.</p>
<b>New products, processes, and services</b>	<p>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.</p>
<b>Science quality</b>	<p>For the reporting period, the number of:</p> <ul style="list-style-type: none"> <li>• Peer-reviewed journal articles accepted for publication</li> <li>• Articles, book chapters or books accepted for publication that has been subject to a rigorous quality assurance process prior to publication</li> <li>• Papers or abstracts listed in publicly available conference proceedings</li> <li>• Recognised science achievements for research awarded</li> <li>• Oral feature presentations delivered by formal invitation at a recognised science forum</li> <li>• Published theses by postgraduate students employed on the project.</li> </ul>
<b>Provisional patent and plant variety rights (PVR) applications</b>	<p>Specify the number of any intellectual property (IP) items for which provisional protection is being sought. For example, the number of:</p> <ul style="list-style-type: none"> <li>• Patent or Plant Variety Right (PVR) applications</li> <li>• Inventions or plant types for which you have lodged a patent or PVR application in one or more countries</li> <li>• Patent Cooperation Treaty (PCT) applications</li> <li>• Applications for full patents in one or more countries, administratively coordinated by the PCT, but granted in each country at the discretion of that country's patent regulatory body.</li> </ul>
<b>Patent and PVR grants</b>	<p>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:</p> <ul style="list-style-type: none"> <li>• Patents or PVRs that have been granted, and in which countries they have been granted</li> <li>• Inventions for which you have been granted a patent or PVR in one or more countries, and in which countries.</li> </ul>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD This is a guide and is not intended to constrain the information you provide.
<b>Revenue and contracting</b>	
<b>Co-funding and subcontracting</b>	<p>Specify the actual amount of co-funding or subcontracting for this reporting period, GST exclusive.</p> <p>To enter the <b>Actual Amount</b> for the reporting period, click Select <b>type</b> to open the item and then enter the:</p> <ul style="list-style-type: none"> <li>• actual amount received (<i>if co-funding</i>), or</li> <li>• paid (<i>if subcontracting</i>).</li> </ul> <p>If the amount received (<i>if co-funding</i>) or invoiced (<i>if subcontracting</i>) is less than 80% or more than 120% of the amount listed in your contract, explain this in the <b>Comment field</b>.</p> <p>In contrast to the Annual Client Report template, Listed Amounts are not pre-populated in the Final Client Report template.</p> <p>You can enter any additional co-funding/subcontracting (<i>i.e., not listed in your contract</i>) that you have obtained by clicking the <b>Add new</b> button at the bottom of the IMS reporting section.</p>
<b>Revenue</b>	<p>Tell us of any additional revenue that your organisation has obtained as a result of:</p> <ul style="list-style-type: none"> <li>• New products, processes or services</li> <li>• Revenue obtained from the sale of IP or consulting</li> <li>• Additional contracts won on the basis of knowledge generated by this contract.</li> </ul>
<b>Formal collaborations</b>	
<b>Collaborations by country</b>	Tell us of any collaborations with overseas organisations, by country.
<b>Capability building</b>	
<b>Students</b>	Specify the number of Masters, Doctorate, and Post-doctoral researchers who worked on the project.
<b>Secondments to or from end users</b>	Specify the number of end users that have been seconded from or to your organisation
<b>End user relationships</b>	
<b>End user details</b>	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.
<b>Spinouts and start-ups</b>	
<b>Spinouts and start-ups</b>	<p>Tell us the details of any spinouts and start-ups that have been established during the reporting period, including the name and contact details of the new entity(ies).</p> <p>Spinouts and start-ups are organisations that will promote commercialisation opportunities for outputs from your contract.</p>

REPORT SECTIONS	CONTENT REQUIRED FOR THE REPORTING PERIOD This is a guide and is not intended to constrain the information you provide.	
<b>COVID-19 Information</b>		
<b>COVID-19 Information</b>	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 ( <i>No impact</i> ) to 5 ( <i>Major</i> ).
	Which areas were impacted by COVID-19 during this reporting period?	Select from the following all that apply: <ul style="list-style-type: none"> <li>• Outcome(s) of the contract</li> <li>• Co-funding contributions from partners or end users</li> <li>• Ability to connect with stakeholders and end users</li> <li>• Connection to international collaborators</li> <li>• Students/researchers impacted by border closures</li> <li>• Other</li> </ul>

# Entering and Submitting Final Reports

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

Smart Ideas contracts with an end date between **30 June 2022 and 1 September 2022**, should submit a final report between **2 September and 1 October 2022**. All other Smart Ideas contracts should submit a final report in accordance with the terms of the contract (typically, within one month of the contracted end date).

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

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

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

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

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

## Accessing IMS

### Log into IMS

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

#### For first time users:

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

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

#### For existing users:

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

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

### Logout of IMS

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

## To Enter and Submit a Final Report:

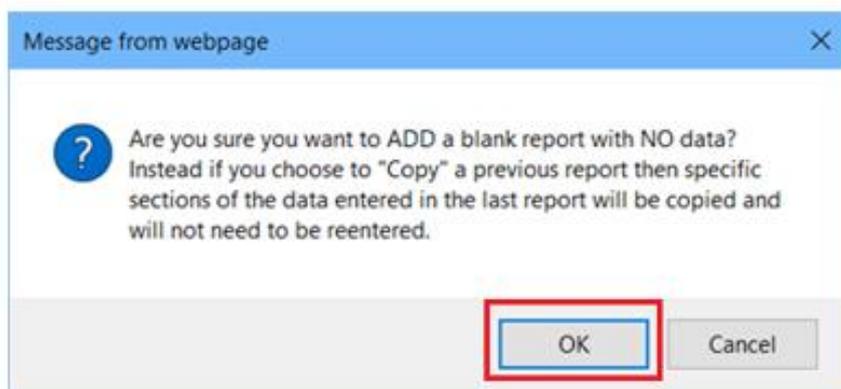
1. Click the **Project List** tab to open your organisation's **Contract** list.
2. Locate the **Contract** on which you are reporting.

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

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

The screenshot shows the 'Project List' interface. At the top, there are tabs for 'Home' and 'Project List'. Below the tabs, there are buttons for 'Apply filter', 'Reset filter', 'Export', and 'New application'. A table lists contracts with columns: Reference, Contract, Short Title, Science leader, Contract manager, Status, Report status, and Report Link. The 'Report Link' column for the first contract (CONT- C09) has a 'Client report' link highlighted in red. Below the table, the 'Client report' details are shown, including a table with columns: Reporting Key, Status, Date Submitted, Reporting start date, and Reporting end date. The 'Add' button is highlighted in red.

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



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

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

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

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

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

Mandatory fields are marked with an asterisk \*.

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

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

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

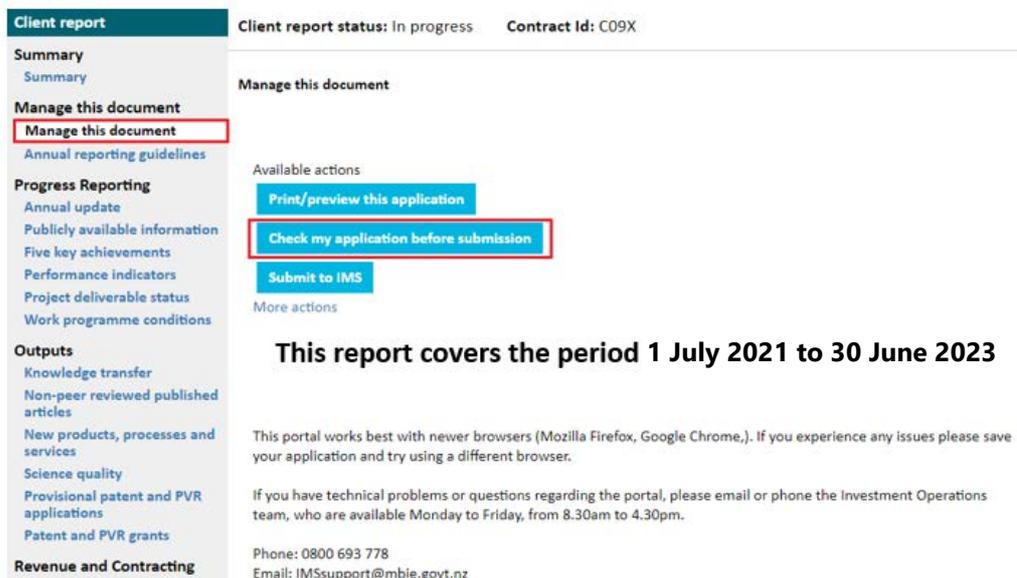
THE SYMBOL...	INDICATES THE SECTION...
	has not started.
	is in progress.
	contains invalid or incomplete fields.
	is complete and valid.

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

Remember to:

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

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



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

**Summary**  
Summary

**Manage this document**  
Manage this document (highlighted)  
Annual reporting guidelines

**Progress Reporting**  
Annual update  
Publicly available information  
Five key achievements  
Performance indicators  
Project deliverable status  
Work programme conditions

**Outputs**  
Knowledge transfer  
Non-peer reviewed published articles  
New products, processes and services  
Science quality  
Provisional patent and PVR applications  
Patent and PVR grants

**Revenue and Contracting**

**Manage this document**

Available actions  
Print/preview this application  
Check my application before submission (highlighted)  
Submit to IMS

More actions

**This report covers the period 1 July 2021 to 30 June 2023**

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

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

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

7. Click the **Check my application before submission** button under the **Manage this document** section to verify if there are any issues with the report.
  - If the validation is successful a Validation Successful message displays.
  - If errors and/or incomplete fields are detected, a Validation Unsuccessful message displays with links to any issues found for correction.
8. If the validation is unsuccessful, click the first error message to open the section, make the required corrections/additions and then click the **Save** button. Repeat for all issues detected.
9. Once you have resolved all detected issues, click the **Manage this document** link and then the **Check my application before submission** button again.
10. On achieving a successful validation, click the **Submit to QA** button (Users) or the **Submit to IMS** button (Superusers).

If you clicked **Submit to IMS** your proposal has been successfully submitted and is now listed on the **Project List** tab with a status of **Submitted to MBIE**. If you clicked **Submit to QA** you will need to ensure that your Super User performs their QA and submits your report before the due date according to the terms of the contract.

