

Regional Research Institutes

Annual Reporting Guidelines

For the period 1 July 2018 – 30 June 2019



MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT
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newzealand.govt.nz

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Introduction

As an organisation that receives funding through the Regional Research Institute Initiative, you are responsible for reporting to MBIE each year on your investment plans and the performance of your RRI research.

These guidelines provide you with the information and instruction on how to prepare and submit a Regional Research Institute (RRI) Annual Report.

The Annual Report is the key tool for communicating what you have achieved using RRI funding, your progress against your investment contract's Key Performance Indicators (KPIs), and your key achievements over the reporting period 1 July 2018 to 30 June 2019. It also enables you to signal what your plans are for the next funding year.

These guidelines are one in a suite of documents that detail RRI reporting requirements and should be read in conjunction with the **Regional Research Institutes Performance Framework Guidance Document: 2018** which provides the context for RRI performance monitoring. See page 2 for the full suite of documents containing RRI reporting information.

How MBIE Uses Your Annual Reports

The Annual Report provides transparency on how you have spent RRI funding over the past 12 months and visibility to your plans for the next reporting period. It forms a record of the RRI's delivery of the Work Programme against the requirements of the RRI's contract with MBIE. MBIE expects a RRI Governance Board to take remedial action if the progress reported in the annual report does not meet expectations. Significant departure from expectations may result in a change event as per the RRI Investment Contract.

MBIE will use RRI annual reporting information to brief the Minister of Research, Science and Innovation on the progress of the RRI initiative.

Annual Reports enable us to:

- > Demonstrate accountability in our investment of RRI funding
- > Better understand, track and communicate where and how RRI funding is being invested
- > Monitor the effectiveness of individual RRIs against their objectives, including KPIs
- > Inform the Minister about how the RRI funding model is working.

The information you report on will:

- > Enable us to celebrate and communicate your successes
- > Inform our discussions with you on opportunities, risks, and/or necessary actions to address performance areas that require a course correction
- > Together with other RRI reporting elements build a picture of RRI performance to support the future evaluation of RRIs from a wider policy perspective.

Your Annual Report will form the basis of discussion with MBIE in August / September 2019 about progress towards achievement of the objectives of your RRI contract. If there are areas of significant under performance then the RRI Governance Board will need to formulate and take remedial action to the satisfaction of MBIE.

Confidentiality

Your RRI contract addresses confidentiality and allows for the public release of certain basic contract and funding information. All information provided in the annual report will remain confidential as per the RRI contract, subject to the Official Information Act 1982 or any other statutory or evidentiary requirement.

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Key Reporting Dates

DATE	ACTION
1 July 2019	IMS portal opens for submission of annual reports
Noon, 31 July 2019	IMS portal closes for submission of annual reports
August-September 2019	MBIE and RRI's meet to discuss their annual reports

Key Reference Documents

These guidelines are one in a suite of documents that detail and inform RRI reporting requirements. The full suite comprises:

- > The [Regional Research Institutes Performance Framework Guidance Document: 2018](#)
How MBIE will monitor and evaluate RRI contracts, and the RRI investment and policy as a whole. The Framework is intended to deliver transparent, comparable information on the outcomes of investments across RRI investments. The performance information is intended to inform future investment decisions.
- > **Your RRI Work Programme and Business Plan**
A high level description of your Regional Research Institute's strategic intent.
- > **Your RRI contract**
The terms and conditions under which your MBIE funding has been granted, including the reporting requirements.
- > **Your individual RRI Outcome Logic Framework**
This shows your institutional plan, its alignment to RRI investment signals and the linkage to your KPIs. Your individual outcome logic framework is due to MBIE at the same time as your annual report.

Additional Help

Your MBIE lead contact should be your first port of call for advice on your annual report.

For all queries relating to the submission of reports in MBIE's Investment Management System (IMS):

Email imssupport@mbie.govt.nz

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

Preparing Your Annual Report

This section outlines what you need to include in your annual report, and how MBIE will use the information you provide. It also provides guidance on how much information you should expect to provide. Where applicable, word limit guidelines and other reporting standards are noted.

Your annual report covers what you have achieved during the reporting period 1 July 2018 to 30 June 2019 and records the progress you are making towards the aims included in your research and business plan. It is your opportunity to also highlight what you have achieved during the reporting period.

Annual reports are submitted to MBIE via our Investment Management System (IMS) – a secure online portal. The IMS portal will be open to receive reports from **1 July 2019 until noon, 31 July 2019**. For instruction on submitting your report, see page 10. We recommend that you familiarise yourself with the portal well before the report submission deadline.

The RRI annual report comprises 8 sections as outlined in below.

REPORT SECTION	DESCRIPTION	REPORTING FORMAT	FOR DETAILS, SEE PAGE
Funding Summary	Financial activity in the reporting period and your use of RRI funds	Enter your supporting commentary directly into the appropriate IMS portal and upload your financial summary as directed	4
RRI Overview	A summary of your main activities and key achievements during the reporting period	Prepare your overview using any word processing software and enter it (copy and paste) into the appropriate IMS portal field as directed	4
Public Statement	A brief statement covering the reporting year that that can be published	Prepare your statement using any word processing software and enter it (copy and paste) into the appropriate IMS portal field as directed	5
Progress and Key Achievements	Progress and key achievements summaries for each RRI performance area	Prepare your investment signal summaries using any word processing software and enter them (copy and paste) into the appropriate IMS portal fields as directed	5
Key Performance Indicators (KPIs)	Status report against your agreed KPIs	Prepare your KPI commentaries using any word processing software, enter them (copy and paste) into the appropriate IMS portal fields as directed and assign a status	6
Highlights	Highlights of significant research and impact	Enter your highlights directly into the appropriate IMS portal field and upload any supporting material as directed	6
Forward-looking Plan	An outline of your plans for the next reporting year	Enter your plan directly into the appropriate IMS portal field as directed	7
Project-Level Information	Project level data to feed into the New Zealand Research Information System	Enter project-level data into the <i>RRI NZRIS Project Reporting Spreadsheet</i> and upload as directed when submitting your report to MBIE in the IMS portal	7

For the reporting period, your annual report needs to clearly show:

- > The progress achieved across your research project(s)
- > Your achievements and shortfalls, and directs MBIE's attention to the most important aspects of performance
- > How your RRI-funding aligns with or addresses the RRI investment signals
- > That your use of RRI funding addresses the RRI investment signals, and is consistent with the annual report you provided in 2018
- > Examples of the science that RRI funding has purchased in the reporting year
- > How your research project(s) and Institute activities are delivering – or contributing to the delivery of science excellence, regional growth, impact, and supporting regional and national capability.

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Section 1: Funding Summary

What to Include

Provide a breakdown of your annual revenue and expenditure (excluding GST) for the reporting period 1 July 2018 to 30 June 2019. This should include expenditure on research using RRI funds and clearly show any third party research funding and commercial revenue.

If there is a significant variance (more than \$100,000) between the total RRI funding you have received for the year and the amount you have spent, explain the reason(s) why.

How to Submit

Enter your supporting commentary directly into the appropriate IMS portal and upload your financial summary as directed.

Why Required

The Funding Summary provides transparency and accountability for your use of RRI funds in the reporting period.

Section 2: RRI Overview

What to Include

Summarise your main activities and key achievements during the reporting period 1 July 2018 to 30 June 2019. These might include (but are not limited to):

- > What you have achieved / produced to satisfy pre-contractual or contractual conditions
- > Establishment / start-up activities such as appointing key personnel, establishing governance, management or advisory groups, business model development, revising and resubmitting plans
- > Research achievements, the development of collaborative partnerships and successes with new sources of funding
- > Any obstacles or issues that have been encountered in delivering against the Work Programme, reasons for delay and changes that have been made to deliverables and mitigation strategies that you have adopted.

Word limit guidelines: 1000 words

How to Submit

Prepare your overview using any word processing software and enter it (copy and paste) into the appropriate IMS portal field as directed.

Why Required

The overview provides a summary of your key activities and achievements in the reporting year and of any challenges encountered.

Section 3: Public Statement

What to Include

A cohesive and compelling summary that:

- > Covers selected highlights and key achievements in science and capability for the reporting year
- > Demonstrates progress against your strategic goals described in your current public statement on the our website
- > Contains web links for additional information, for example, links to case studies.

Ensure that the information in your statement can be freely used by any interested party without breaching commercial sensitivity or confidentiality agreements. This information may be viewed and used by other research organisations, funding agencies, or the public.

Word limit guidelines: 250 words or less

How to Submit

Prepare your overview using any word processing software and enter it (copy and paste) into the appropriate IMS portal field as directed.

Why Required

We will publish the public statements submitted in all RRI annual reports on our website to help provide transparency in the science being funded. We may also use your statement as a source of communication with the Minister or other agencies.

Section 4: Progress and Key Achievements

What to Include

Against each RRI Performance Area (*see right*), summarise:

- > The progress and key achievements during the reporting year
Focus on how these achievements contributed to your Institute's:
 - overall strategic intent,
 - move toward financial sustainability, and
 - expected impacts and other deliverables.
- > The details of any risks you have identified to the delivery of your objectives
- > The details of any significant change in the science or activities you have funded during the reporting year using MBIE funding.

RRI Performance Area

- > Science excellence
- > Science impact
- > Capability development (investing in people)
- > Vision Mātauranga
- > Governance
- > Sustainability

- > Write focussed, concise summaries.
- > Use focussed "soundbites" to illustrate achievements for each of the performance areas and results-focussed rather than process-focussed language.

Example

Science excellence:

Our RRI-funded analysis of X showed Y. Results were presented in an invited keynote address to the 25th International Congress of Soil Science Modellers, and published in the Global Journal of Excellent Science (rather than "RRI-funded research on X was the subject of an invited keynote address at an international conference, held in America in March 2017.")

Impact: We refined estimates of the rate of coastal erosion in the Marlborough region. These have now been incorporated into regional planning processes.

Word limit guidelines: 500 words per investment signal summary

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How to Submit

Prepare your investment signal summaries using any word processing software and enter them (copy and paste) into the appropriate IMS portal fields as directed.

Why Required

This information will support and provide additional context to the information you supply in the KPI reporting section.

Section 5: Key Performance Indicators (KPIs)

What to Include

Against your contracted KPIs, tell us:

- > The status of each KPI (e.g., achieved, on track, not achieved)
- > The reason(s) for any non-achievements, and your revised plans/approach to achievement.

Detail of science or activities that have contributed to any KPI are not needed in this section, but can be described as an achievement under the appropriate RRI investment signal in Section 4: Progress and Key Achievements.

Word limit guidelines: 50-100 words per KPI

How to Submit

Prepare your KPI summaries using any word processing software and enter them (copy and paste) into the appropriate IMS portal fields as directed.

Why Required

KPI reporting and accompanying narrative will be a key focus of MBIE's discussions with you.

Section 6: Highlights

What to Include

One or more highlights that clearly describe research or impact in which RRI funding has made a significant contribution during the reporting year.

Highlights are your opportunity to describe in detail, achievements, impacts (or contribution to impacts) and the economic, environmental, social and/or cultural value of your RRI.

If the highlighted activity or activities are part funded by RRI funding then indicate the proportion of RRI funds used and the source of other funds.

- > Avoid technical language or jargon
- > Explain the abbreviations or acronyms you use
- > Highlights should explain:
 - > The need for RRI investment in the topic area (what is the problem/issue being addressed, who needs the research and why?)
 - > What your investment has achieved
 - > What research you have done
 - > Your collaborations and funding partners
 - > Results (rather than simply outlining work in progress)
 - > Who is using/will use the results, and how that will deliver impact.

Word limit guidelines: 500 words per highlight with 1-2 relevant, appropriately captioned images. You can also upload additional material to support your highlights.

How to Submit

Enter your highlights directly into the appropriate IMS portal field and upload any supporting material as directed.

Why Required

Your case studies will help us assess how you are using MBIE funding to deliver excellence and impact.

Section 7: Forward-looking Plan

What to Include

Briefly outline how you will use MBIE funding over the coming year (1 July 2019 to 30 June 2020) to deliver your outcomes. Include any organisational change or external factors that might affect how you plan to spend your MBIE funding or the direction or delivery of your science over the coming year.

The Forward-looking plan report section is your opportunity to:

- > Confirm that investing MBIE funding in accordance with the strategic intent of the RRI is still appropriate
- > Explain the need for any changes to your investment strategy, and
- > Identify any risks to the delivery of your objectives.

Word limit guidelines: 500 - 1000 words

How to Submit

Enter your plan directly into the appropriate IMS portal field as directed.

Why Required

Your plan allows us to monitor progress and will inform our discussions with you on:

- > Your deliverables, key milestones and required actions
- > The implications for supporting the capability within the RRI and its contribution to long-term regional and national capability.

Section 8: Project-Level Information

What to Include

Project-level data is captured on an individual project basis via an Excel spreadsheet provided separately. It is important that this spreadsheet is completed fully and accurately following the guidance provided.

All projects should:

- > Meet the New Zealand Research Information System (NZRIS) definition of a project
- > Show line-of-sight to impacts or capability described in your Platform Plan, if possible.

The NZRIS Technical Documentation Data Specification defines a project as:

A planned set of activities completed within a fixed period to extend or expand RS&I knowledge. (Definitional rule: the definition of a project is a funded set of activities that is organised and managed for a specific purpose; has its own objectives; has expected outputs and outcomes; and occurs over a specific period with defined start and end dates).

See page 9 for more information on NZRIS.

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For each project that received MBIE funding in 2018/19, the worksheet requires the capture of the following information.

IN THE WORKSHEET FIELD	PROVIDE US WITH:
Project Title	The descriptive (science focussed) title of the project.
Local Project Identifier	If applicable, the unique code your organisation uses to reference the project.
Project Description	<p>What was done; why it was needed; the expected impact or outcomes, and how you will enable or contribute to these.</p> <p>This is your opportunity to make clear the rationale for using MBIE funding in this area and the contribution it will make. Be concise; we recommend 2-3 sentences.</p>
RRI Funding	Specify the \$ (<i>excluding GST</i>) spent or committed to the project from 1 July to 30 June.
Start Date	The start date of the project.
End Date	The anticipated end date of the project.
Project Status	<p>The status of the project. Choose from:</p> <ul style="list-style-type: none"> > Active > On Hold > Completed > Partially Completed > Cancelled
Project Type	<p>The NZRIS project type category that best describes the project. Choose from:</p> <p>Frascati R&D</p> <ul style="list-style-type: none"> > Non-Frascati R&D Innovation > Scientific services and products > Knowledge transfer, outreach and extension > Commercialisation > Administration
Alignment with Vision Mātauranga	<p>The category that best describes the project's alignment to Vision Mātauranga</p> <p>Choose from:</p> <ul style="list-style-type: none"> > Research not involving and not specifically relevant to Māori > Research specifically relevant to Māori > Research involving Māori > Māori-centred research > Kaupapa Māori research
Project Personnel	<p>For your primary person, tell us their:</p> <ul style="list-style-type: none"> > Person Identifier Type. Choose from: Local; ORCID ID; ISNI; SCOPUS, Researcher ID; Other Identifier > Person Identifier Value > Role. Choose from: Lead Contributor, Other Named Contributors, Other Contributors; Supporting Staff; Technician; Collaborator. > Start Date > Estimated FTE allocation (to one decimal place, e.g. 0.3) on the project
ANZSRC TOA	<p>The ANZSRC TOA (Type of Activity) classification that best describes the research in the project.</p> <p>Choose from:</p> <ul style="list-style-type: none"> > Pure basic research > Strategic basic research > Applied research > Experimental development.

IN THE WORKSHEET FIELD	PROVIDE US WITH:
ANZSRC ¹ SEO Code	The SEO (Socioeconomic Objective) code(s) that best describe the intended outcomes of the project. At least one but up to X can be selected. Estimate the proportion of the project relevant to each of the codes. Your estimates should total 100%.
ANZSRC ² FOR Code	The FOR (Field of Research) code(s) that best describe the <u>main research discipline(s)</u> contributing to the project. At least one but up to X can be selected. Estimate the proportion of the project relevant to each of the codes. Your estimates should total 100%.

We recognise that not all RRIs will be at maturity stage to have captured this level of project information for the past year, however we expect this section to be completed as fully as possible. Please contact us if you have any questions.

How to Submit

You will be provided with an *RRI NZRIS Project Reporting Spreadsheet* by email for the capture of all required project-level information. Once completed, save this EXCEL spreadsheet with the **same** file name (do not rename) and upload as directed when submitting your report to MBIE in the IMS portal.

Why Required

Although the focus of RRI's is on investment at a strategic level, project-level data is needed to:

- > Support investment transparency in respect to your annual MBIE income and expenditure, the science the MBIE investment is purchasing, and the capability you are supporting or developing.
- > Complement the high-level overview of how you intend to invest MBIE funding.
- > Support the requirement to make all science investments compliant with NZRIS-reporting.

The New Zealand Research Information System DataMart

The New Zealand Research Information System (NZRIS) is a planned information hub that will enable people to easily find information about research, science and innovation in New Zealand. Once implemented, NZRIS will bring together data on researchers, their projects, outputs, funding sources and end user collaboration.

We are currently building a DataMart infrastructure for NZRIS. The data it will initially contain will comprise information about research, science and innovation funded wholly, or in part, by the Government. Over the next few years, we will work with Crown Research Institutes, and other funding providers and research organisations active in the New Zealand research, science and innovation system to then integrate their data into the DataMart.

Until the NZRIS DataMart is fully developed and implemented across the science system, NZRIS-esque data on current RRI investments will be manually captured in a manner that will enable future analysis and eventual input into the DataMart. Where applicable, these Annual Reporting Guidelines and the accompanied spreadsheet considers the type and level of information required for NZRIS. Once implemented, NZRIS data on RRI investment will be input directly into the NZRIS DataMart by recipients of RRI funding.

For information about NZRIS, including detailed data specifications, see our [NZRIS web page](#)³.

¹ ANZSRC codes are available online at Statistics New Zealand or the Australian Bureau of Statistics. There is also a code-finder tool at the University of Western Australia website. Links to these resources are provided in the spreadsheet.

² ANZSRC codes are available online at Statistics New Zealand or the Australian Bureau of Statistics. There is also a code-finder tool at the University of Western Australia website. Links to these resources are provided in the spreadsheet.

³ <https://www.mbie.govt.nz/science-and-technology/science-and-innovation/research-and-data/nzris>

Submitting Annual Reports in the IMS Portal

Annual reports are submitted to MBIE via our Investment Management System (IMS) – a secure online portal. Report information is either entered directly into the IMS portal or uploaded. Whilst being drafted, your report can be saved, printed and revised directly in the IMS portal.

Annual reports can be submitted in the IMS portal from 1 July 2019 until noon, 31 July 2019.

For all IMS portal 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)

Accessing MBIE's IMS Portal

■ To log in to the IMS portal:

For first time users:

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

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 IMS 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 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 Portal's **Home** screen displays.

■ **To create and submit an annual report:**

1. Click the **Project List** tab.
2. Locate the **contract** on which you are reporting

If you cannot locate this, see your Host Super User.

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 the section directly or move through the sections sequentially by completing them and clicking the **Save & next section** button.

5. Complete all the sections and ensure that all reporting fields are completed and meet the requirements as per these guidelines and adhere to word limit guidelines.

The IMS portal will guide you through the completion of the required fields and the uploading of your supporting documents. We recommend that you familiarise yourself with the portal well before the report submission deadline.

Click either the:

- > **Save** button to save what you have entered and stay on the screen, or
- > **Save and Next Section** button to save what you have entered and to move to the next section of the report.

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



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

Where directed upload your supporting documents. 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.

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.

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.

6. When complete, click on the **Print and manage this document** link.

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- 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:

Client report validation result: Successful
Status: In progress

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

Client report validation result: Unsuccessful
Please correct the errors below.
Reporting

- 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

- Once you have corrected all of the errors and / or added all of the missing information click the **Manage this report** link then the **Check my report before submission** button again.
- Click the **Print and 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 to MBIE. After this you will not be able to make any changes to the report.

Administering Reports

There are key features in the IMS portal that enable you to quickly see where you are at 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 **Annual 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 MBIE.
Submitted for QA	has been completed and submitted to your Super User for QA.
Submitted to IMS	has been submitted to MBIE.

Checking When Your Report Is Due

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

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

Printing Reports

Printing an annual 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).

Regional Research Institutes Initiative

BACKGROUND

In Budget 2015, the Government committed up to \$25 million over 3 years to support the establishment of new privately-led Regional Research Institutes.

The purpose of this funding was to maximise the unique business, technology and economic growth opportunities by establishing research centres that helped build research and development intensity and lifted innovation in key regional industries.

RRI initiative's aims

The aims of the regional research institute (RRI) government initiative were to:

- > benefit regions outside the main population centres (Auckland, Wellington, and Christchurch)
- > support and further enhance regional advantage in New Zealand by stimulating leading edge, industrially exploitable and commercially focused research.

The government policy areas that drove the RRI initiative were:

- > deepening our knowledge-based capital, and widening its impact, is critical for growth;
- > directing knowledge-based capital into the regions can improve their competitiveness;
- > industry-led institutes can meet unique needs and lift business innovation in regions.

In Budget 2016, the Government provided an additional \$40 million to support the initiative, bringing the total funding to \$65 million.



