

FOUNDATION GRANT PROGRAMME ASSESSMENT MATRIX

BACKGROUND AND PURPOSE

The purpose of the matrix is to enable the decision committee/board to evaluate and compare applications for fit with the Foundation's agreed priorities for the Grant Programme. The matrix provides a systematic, transparent and simple tool for the committee to use to inform and record decision-making. The principles of the decision-making are:

- **Fairness:** Fair, transparent, accountable – each application will be assessed and captured using the same matrix, supporting fairness and transparency of evaluation. Matrix-based decision-making is considered good practice for decisions to avoid bias and subjectivity.
- **Respect:** and consideration of applicants – each application will be given due consideration through the process of running each one through the matrix
- **Equity:** access and benefits for diverse groups, including upholding the principles of Te Tiriti – the matrix will include criteria to prompt consideration of Te Tiriti, diversity and inclusion for each application, ensuring that equity is considered for all applications
- **Relevance and engagement of engineering community** – the relevance of each application will be considered as part of the matrix criteria, ensuring that relevance to the engineering community is considered for all applications
- **Responsibility:** responsible management of Foundation funds by Trustees – the system of using the matrix provides an accountable record of the decisions made by Trustees, where pre-determined scores will be required prior to evaluation. By placing objective criteria and thresholds for investment, responsible investment is ensured. This is part of the Grant programme's overall system of ensuring responsible investment, which includes other measures of accountability for spend.

The assessment matrix provides a system to incorporate these principles into a decision process. Each application will be assessed using the draft matrix.

FOUNDATION PRIORITIES

The agreed priorities for the Foundation's grant programme are:

- **Alignment:** the project aligns with the Foundation's vision of a thriving, healthy and/or enduring engineering profession
- **Relevance:** the project benefits and/or advances the engineering profession; and the project raises the profile of engineering in Aotearoa
- **Project Definition:** the project is well defined, including in respect of its objectives, timeframes, deliverables, budget and how the funds will be spent
- **Te Tiriti:** the application acknowledges the principles of Te Tiriti O Waitangi and reflects those principles in the project
- **Diversity & Inclusion:** the project has the potential to enhance diversity and inclusion within the profession
- **Success capability:** the applicant has a proven track record of delivering projects on time and on budget, or will be closely supervised by someone that has this track record

APPLICATION QUESTIONS

The questions applicants will be asked include:

- Personal details:
 - Name
 - Address
 - Email and phone
 - Affiliated organisation (if relevant)
- Tell us about yourself/share your whakapapa
- Tell us about the project/programme/initiative you'd like us to help fund. We specifically need to know the following information, but you can tell us anything else about it that you'd like us to know:
 - its name
 - your goals/objectives
 - what drives you to be involved in this mahi/why is it important to you
 - the total cost
 - how much money you are wanting the Foundation to contribute
 - what the Foundation's grant will specifically be used for
 - whether anyone else is contributing funds
 - What the timeframes for delivery are
 - Who else is involved? Are there any other organisations affiliated with it?
- Tell us how your project/programme/initiative aligns with the Foundation's strategy:
 - How will it contribute to our vision of a thriving, healthy, and enduring engineering profession?
 - How will your project incorporate the principles of Te Titiri O Waitangi?
 - Will your project enhance diversity and inclusion within the engineering profession?
- Tell us more about your experience with these types of projects/programmes/initiatives:
 - Have you delivered these types of projects/programmes/initiatives before? How did they go?
 - Is this your first time doing a project/programme/initiative like this? If so, will you be supported or supervised by someone who has experience?

ASSESSMENT APPROACH

The approach to assessment is a matrix that incorporates each of the Foundation priorities and reflects the application questions.

Proposed process is laid out below:



Draft weightings have been proposed to reflect different levels of importance attached to different criteria. These need to be reviewed and agreed by Foundation Trustees. Success Capability will be assessed as a triage stage as per Table 1 below. This table set out a set of pass/fail criteria to screen out applications that are likely to have a low alignment with the Foundation’s stated priorities. Fail on any criteria means the application may not proceed to further evaluation.

Table 1 - Application Triage

Pass/fail criteria		Pass/Fail criteria
Potential to access other funding	Yes/No	Projects that have access to other funding sources are a lower priority for the Foundation
Previous experience (or supervision if none)	Yes/No	Responsible investment requires some proven experience, or supervision to ensure best chance of success
Budget compliance	Yes/No	Applications must fit within the Foundation’s grant programme budget. Where several applications are under consideration, the highest-scoring will take priority.
Significant risk unable to be managed	Yes/No	Trustees must be satisfied there are no significant risks that cannot be managed.

ASSESSMENT MATRIX

The Assessment Matrix is laid out in Table 2 below. The remaining priorities for the Foundation are captured in this table. Each criteria is scored out of 10. A weighted score is then calculated by multiplying each raw score by the weighting percentage. The subtotal of all weighted scores represents the overall score for each application. Scores can be awarded either via a group discussion by committee, or by averaging out individual assessment scores.

Table 2 - Draft Assessment Matrix

Criteria	Raw Score	Weighting	Commentary
Alignment: with the Foundation’s vision and strategy of a thriving, healthy profession		25%	
Relevance: the benefits and/or potential to advance the profession (including raising the profile of the profession)		15%	
Project definition: and detail (including track record) <ul style="list-style-type: none"> - Budget - Timeframes 		25%	
Te Tiriti: Reflection of Te Tiriti principles		20%	
D&I: Potential to enhance diversity and inclusion		15%	
Subtotal		Total weighted score	

RESULTS

The collated results will be presented in a summary table showing each application’s total weighted score. Shortlisted application(s) can then be determined, and an overall decision supported. An example overall summary table is included below in Table 3:

Table 3 - Example Summary Table

Applicant	Weighted score	Budget	Shortlist Decision (by Foundation)
A	65	\$25k	Maybe – medium score but budget can accommodate.
B	86	\$13k	Yes – high score, budget can accommodate
C	70	\$95k	No – high score, but exceeds budget
D	45	\$20k	No – low score
E	75	\$30k	Maybe – medium score but budget can accommodate
F	65	\$20k	No – budget can accommodate but score too low

SCORING GUIDANCE

Scoring guidance is useful to support consistency of assessment and evaluation. Evaluation will align with the general guidance below.

Weighting	25%	15%	25%	20%	15%	100%
Criteria	Alignment	Relevance	Project definition	Te Tiriti	Diversity & Inclusion	Possible Score
Excellent: Only awarded when all requirements are met in an exceptional manner	Clear and demonstrated alignment with the goals of a thriving, healthy and enduring profession. Impact is clear, measurable and likely to impact whole profession at a national scale.	Clear benefit to the profession. Endorsed (or confirmed) as relevant and applicable to the whole profession from key groups. Raises public trust in the profession through promotion in the public realm at a national level. Encourages engagement with the profession.	Comprehensive project definition, clear objectives, timeframes, deliverables. Well-developed and credible, budget and accountability measures (reporting). Contingency plans.	Applicant clearly articulates upholding the principles of Te Tiriti O Waitangi. Kaupapa Māori in method and approach. Supports the profession’s bicultural competence	Clear impact on potential to support diversity & inclusion across the whole profession, for all under-represented groups. Impact at a national level. Endorsed (or confirmed) by key stakeholders	8.5-10

<p>Good: Requirements are fully covered in all material aspects</p>	<p>Clear and demonstrated alignment with the goals of a thriving, healthy and enduring profession. Impact is clear, measurable and likely to offer benefit to particular sectors of the profession, or to the whole profession at a regional scale.</p>	<p>Clear benefit to targeted groups of profession. Likely to be relevant and applicable to the profession. Potential to lift public trust in and engagement with the profession through promotion in the public realm at a national or regional level</p>	<p>Good project definition, clear objectives, timeframe and deliverables. Detailed and reasonable budget and accountability measures (reporting). Contingency plans.</p>	<p>Project approach recognises the principles of Te Tiriti O Waitangi. Supports biculturalism in the profession</p>	<p>Promotes diversity & inclusion across the whole profession, for specific under-represented groups. Impact at a national or regional level.</p>	<p>7 – 8.5</p>
<p>Above Average: Requirements are adequately covered</p>	<p>Alignment with the goals of a thriving, healthy and enduring profession. Impact is, measurable and likely to offer benefit to particular sectors of the profession, particular locations, or for targeted groups within the profession.</p>	<p>Potential to benefit to targeted groups in the profession. Responds to a current known issue with specific groups in the profession. Likely to be relevant and interesting to wider groups. Potential to increase impact and/or support other mahi in the profession (including future partnerships)</p>	<p>Appropriate project definition, clear objectives, timeframe and deliverables. Appropriate budget. Mechanisms for reporting and appropriate controls (financial and progress reporting)</p>	<p>Project approach recognises the principles of Te Tiriti O Waitangi.</p>	<p>Promotes diversity & inclusion across the profession, for specific under-represented groups. Impact at a local or group-specific level.</p>	<p>6 - 7</p>
<p>Average: Adequate with some deficiencies that are not likely to have any adverse effect</p>	<p>Alignment with one or more of the goals of a thriving, healthy and enduring profession. Impact is likely to offer benefit to particular sectors of the profession,</p>	<p>Potentially relevant to key groups in the profession. Likely to be interesting to other groups. Potential to leverage other initiatives within the profession along similar lines</p>	<p>Adequate project definition, objectives, timeframe and deliverables. Adequate budget planning and reporting.</p>	<p>Project approach recognizes the principles of Te Tiriti O Waitangi, in line with general industry trends. .</p>	<p>Broadly supports principles of diversity, in line with general industry trends.</p>	<p>5 – 5.5</p>

	particular locations, or for targeted groups within the profession					
Below Average: Barely adequate and would need considerable improvement in this attribute if selected	Limited or unclear alignment with the goals of a thriving, healthy and enduring profession. Unclear likelihood of benefit to the profession, particular locations, or for targeted groups within the profession	Of limited relevance to most groups in the profession, or of interest only to narrowly defined professional groups/sectors. Limited scope to benefit or advance the profession.	Inadequate project definition requiring clarification. Unclear objectives and/or timeframes and deliverables (but can be clarified). Budget planning and reporting presents concerns (but can be managed).	Application silent on the principles of Te Tiriti.	Application silent on diversity & inclusion.	4- 4.5
Poor: Unacceptable in this attribute and ruled of further consideration. THIS MARK IS A "FAIL".	Alignment with the goals of a thriving, healthy and enduring profession cannot be demonstrated .	No demonstrated relevance or interest to the profession. Scope to benefit or advance the profession cannot be demonstrated.	Poor project definition, objectives and/or timeframes and deliverables. Unacceptable budget.	Application silent on the principles of Te Tiriti.	Application silent on diversity & inclusion.	<= 3.5