Freshwater Improvement Fund Application Form 2020

Part 1: Project proposal and governance

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| Overview |
| Applicant name |       |
| Project name |       |
| Total cost of project | $0.00 |
| Amount requested from the Freshwater Improvement Fund | $0.00 |
| Length of project (1–5 years) |       |

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| **Official information and privacy** |

**Official Information Act 1982**

**Important:** Information presented to the Minister for the Environment or the Ministry for the Environment is subject to disclosure under the Official Information Act 1982 (OIA). Certain information may be withheld in accordance with the grounds for withholding information under the OIA. Further information on the OIA is available at [www.ombudsman.parliament.nz](http://www.ombudsman.parliament.nz/).

Information held by the Minister or Ministry may have to be released under the OIA in response to a request from a member of the public (or any other body) for that information. If you wish to provide sensitive information to the Minister or Ministry that you do not want released, it is recommended you consult with the Ministry as to whether the information is necessary for the application, and whether there may be grounds in the OIA for withholding the information. For instance, if release of the information would disclose a trade secret or be likely to unreasonably prejudice the commercial position of the person who supplied or who is the subject of the information, then there may be grounds to withhold the information. If an OIA request relating to your application is received, the Ministry will contact you to discuss it and what the implications of releasing your information are.

The grounds for withholding information must always be balanced against consideration of public interest that may justify release. Although the Ministry does not give any guarantees as to whether information can be withheld under the OIA, it may be helpful to discuss OIA issues with the Ministry in advance, if information provided with an application is sensitive.

**Privacy Act 1993**

Important: the Ministry for the Environment (Environment House, 23 Kate Sheppard Place, Wellington 6011) may collect, use, hold or disclose personal information for the purpose of assessing eligibility and suitability for Freshwater Improvement Fund funding. Individuals have the right, in accordance with the Privacy Act 1993, to request access to and correction of their personal information. While the provision of personal information is not mandatory, failure to provide requested information could lead to a delay in considering the application or a decline of the same.

# Introduction

This application form is for project proposals to the 2020 funding round of the Freshwater Improvement Fund. We strongly recommend you read the *Freshwater Improvement Fund Guide for Applicants 2020* before completing this application form.

## Important information

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| * To improve your chance of success in getting a grant, refer to the *Freshwater Improvement Fund Guide for Applicants 2020* before completing this form.
* The application form has two parts – both must be completed:
* Part 1 : Project proposal and governance (in Word) (*this document*)
* Part 2: Estimated project budget (in Excel).

You must fill out both parts, because incomplete applications will not be assessed.* You can move between the fill-in boxes in this form by using the mouse to scroll through the text, pressing the ↑ and ↓ keys on your keyboard, or using the Tab key. Use text only; do not enter images, tables or graphs into the form.
* Answer all questions and complete the checklist. If a question does not apply to your project, please use ‘N/A’ or ‘none’ instead of leaving the reply blank.
* Follow the word limits for those answers that have them. To check the number of words, highlight the text and use Word Count on the Review toolbar.
* We cannot accept applications that are late or incomplete. An application will not be considered if:
* the designated application form (Part 1 and Part 2) is not used or the template form has been changed in any way
* the application form (Part 1) is not electronically signed
* the ‘Balance of Funds’ in the section ‘Budget Summary (C)’ of the Part 2 application form is showing a negative figure
* the required supporting documentation has not been attached
* all of the required information is not submitted as one email
* it is received after the closing date or after the closing time on the closing date.
* Note that Freshwater Improvement Fund grant payments can only be paid ***after*** funding is approved and a deed of funding has been signed by both contracting parties. Funds are not available for activities that occur before the deed is signed.

**If you need help to complete the application form, refer to the *Guide for Applicants 2020* in the first instance. For any further information, email** **fif@mfe.govt.nz****.** |

# When your application is complete

For **Round 2**, completed application forms (including all supporting information) must be received by the Ministry for the Environment by **midday 21 September 2020**.

For **Round 3**, completed application forms (including all supporting information) must be received by the Ministry for the Environment by **midday 10 February 2021**.

We are unable to accept late applications. We are also unable to assess incomplete applications, so it is important you provide all the required information.

Email your completed application form and supporting documentation (as required) to fifapplication@mfe.govt.nz (with ‘FIF application’ and your organisation name in the subject line). We will only accept **one email per application** – documents submitted as multiple emails will not be accepted. A checklist is provided for your use on the last page of this application form.

Once you have emailed your application, you should receive a reply to say it has been received. If you have not received a reply within one working day, please call us to let us know. In rare cases, emails can be blocked without notification to either party, and we do not want to miss your application.

## Eligibility criteria

Applicants to the Freshwater Improvement Fund must be able to answer ‘yes’ to each of the eligibility criteria below. The following self-assessment checklist is based on the fund criteria. If you cannot meet these criteria, you are not eligible to apply to the Freshwater Improvement Fund.

Note that meeting the eligibility criteria does not guarantee your project will be funded. If you have any questions about the eligibility criteria, please email fif@mfe.govt.nz.

### Self-assessment checklist

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| Does your project meet the following criteria? | Yes / No |
| **1** | The project will contribute to the improvement of the management of New Zealand freshwater bodies. |       |
| **2** | The project will address **one or more** of the following:* achieve demonstrable co-benefits such as:
* improved fresh, estuarine or marine water quality or quantity
* increased biodiversity
* habitat protection
* soil conservation
* improved community outcomes, such as recreational opportunities or mahinga kai
* reduction to current or future impacts of climate change
* reduced pressure on urban or rural infrastructure
 | Select all that apply. You must select at least one: |
| [ ]  |
| * increase iwi/hapū, community, local government or industry capability and capacity in relation to freshwater management
 | [ ]  |
| * establish or enhance collaborative management of freshwater
 | [ ]  |
| * increase the application of mātauranga Māori in freshwater management
 | [ ]  |
| * include an applied research component that contributes to improved understanding of freshwater interventions and their outcomes.
 | [ ]  |
| **3** | The minimum request for funding is $200,000 (excluding GST). |       |
| **4** | The project will be funded for a maximum period of up to 5 years after which the project objectives will have been achieved or the project will be self-funding. |       |
| **6** | The project will achieve benefits that would not otherwise be realised without the fund or that are not more appropriately funded through other sources. |       |
| **7** | The effectiveness of the project and its outcomes will be monitored, evaluated and reported. |       |
| **8** | An appropriate governance structure is in place (or will be established as part of the project). |       |
| **9** | The applicant is a legal entity. |       |

## Assessment criteria

Projects are measured against assessment criteria. The assessment panel reviews, scores and assesses applications that meet the eligibility criteria by deciding the extent to which, and how well, the project shows it meets the assessment criteria.

Some projects may be recommended for funding without conditions. Other projects may be recommended for funding for less than the requested amount and/or with specific conditions of funding attached.

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| Assessment criteria |
| **1** | The extent to which the project addresses the management of freshwater bodies considered to be vulnerable by communities, iwi/hapū, local government or central government. |
| **2** | The project demonstrates improvement in the values and benefits derived from the freshwater body. |
| **3** | The project contributes to recovery from COVID-19 through such things as, but not limited to, generating new employment and maintaining existing workforce capacity. |
| **4** | The extent to which public benefit is increased. |
| **5** | The project demonstrates a high likelihood of success based on sound technical information or examples of success achieved through comparable projects undertaken elsewhere. |
| **6** | The extent to which the project will leverage other funding. |
| **7** | Where applicants request more than 50 per cent of the project costs, the extent to which the higher funding contribution is justified by the COVID-19 recovery outcomes likely to be achieved. |
| **8** | The project will involve the necessary partner organisations to ensure its success. |
| **9** | The project will engage personnel with the required skills and experience to successfully deliver the project. |

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| SECTION A: Applicant details |

*See the Guide for Applicants 2020 for information on how to complete this section.*

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| 1. **Organisation details**
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| Organisation name |       |
| Trading name (if different) |       |
| Description of your organisation |       |
| Physical address Include post code. |       |
| Postal address Include post code. |        |
| Telephone |       |
| Website address |       |
| GST numberEnter ‘N/A’ if you are not GST registered. |       |

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| Legal entity statusSelect **one** only.  | [ ]  | Incorporated society | [ ]  | Charitable trust  | [ ]  | Limited partnership | [ ]  | Māori trust board |
| *(You will be required to provide a certificate of incorporation if you are invited to Stage 2 of the funding process.)* | [ ]  | Limited liability or cooperative company | [ ]  | Regional council/ unitary authority | [ ]  | Territorial authority | [ ]  | Other |
| Date of incorporation or establishment |       |  |  |  |  |  |  |

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| 1. **Contact details for this application**
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| Primary contact name  |       | Secondary contact name |       |
| Organisation  |       | Organisation  |       |
| Role or job title |       | Role or job title |       |
| Phone |       *Mobile* | Phone |       *Mobile* |
| Email address |       | Email address |       |
| Physical address  |       | Physical address |       |

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| SECTION B: Project details |

*See the Guide for Applicants 2020 for information on how to complete this section.*

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| 1. **Project overview**
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| Project name |       |
| Project purposeThis should be a brief description of the problem, solution and outcome your project will achieve. You will have the opportunity to expand on this description later in the application form. (around 100 words) |       |

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| RegionSelect all that apply. | [ ]  Northland[ ]  Auckland[ ]  Waikato[ ]  Bay of Plenty[ ]  Gisborne[ ]  Hawke’s Bay | [ ]  Taranaki[ ]  Manawatu–Whanganui[ ]  Wellington[ ]  Tasman[ ]  Nelson[ ]  Marlborough | [ ]  West Coast[ ]  Canterbury[ ]  Otago[ ]  Southland[ ]  Chatham Islands |

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| How many years are you seeking funding for?Project must be between 1 and 5 years. |       |

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| Total project cost*What is the cash cost (exclusive of GST) of your project, including Freshwater Improvement Fund funding, external funding and your organisation’s contribution?* ***In-kind contributions are eligible for inclusion in the total project costs.*** | $0.00 |
| Freshwater Improvement Fund contribution*How much funding (exclusive of GST) are you requesting from the Freshwater Improvement Fund?* | $0.00 |
| In-kind contribution*Provide an estimate and describe the in-kind contribution to this project.* ***In-kind contributions are eligible for inclusion in the total project costs or budget.*** | $0.00      |

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| 1. **Details of water body**
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| *Tell us more about your project by answering the questions below. See the Guide for Applicants 2020 for information on how to complete this question.* |

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| Name and location of water bodyIf your project includes more than one water body, include details of each water body. |       |

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| Type of water bodySelect all that apply. | [ ]  | Lake | [ ]  | River | [ ]  | Wetland | [ ]  | Groundwater |
| [ ]  | Other |       *(Please specify)* |
| Is your project considered to be in a vulnerable catchment? | [ ]  | Yes | [ ]  | No |  |  |  |  |

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| What information or data can you provide supporting your view that it is in a vulnerable catchment?Provide a summary only of the information available. This should be descriptive text rather than raw data. |       |
| Please provide the GPS coordinates of your water bodyIf your project includes more than one water body, confirm the GPS coordinates of the largest water body only. |       |
| What activities have previously, or are currently, affecting the water quality and/or quantity?Please also say whether these activities are ongoing. |       |

| 1. Details of the project
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| *Tell us more about your project by answering the questions below. See the Guide for Applicants 2020 for information on how to complete this question.* |

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| What is the problem you plan to address with the project? Consider:* the size or extent of the opportunity or problem
* the impact the problem has on the environment, the community and/or people’s lives
* the likely future consequences of not addressing the problem now.

*(maximum 400 words)* |       |
| What is the solution or action you are proposing to address the problem described? Consider:* how the solution (or specific actions) being proposed addresses the problem
* what improvements to freshwater quality and/or quantity are expected to occur
* the impact the solution will have on the environment, the community and/or people’s lives
* how you have determined that the solution proposed is the most appropriate for the problem described.

*(maximum 400 words)*  |       |
| If applicable, explain how your project will develop freshwater management capability and/or capacity of iwi/hapū, the community, local government or industry.*(maximum 300 words)* |       |
| If applicable, explain how your project will increase the application of mātauranga Māori in freshwater management.*(maximum 300 words)* |       |
| If applicable, explain how your project will establish or enhance collaborative management of freshwater. Consider how the project will let parties establish a collective understanding of desired outcomes and how to achieve them.*(maximum 300 words)* |       |
| Does your project include an applied research component? If yes, describe how this will contribute to an improved understanding of the effects of freshwater interventions and their outcomes. *(maximum 300 words)* |       |
| How will you ensure the outcomes resulting from your project will endure, once Freshwater Improvement Fund funding has ended?*(maximum 300 words)* |       |
| How many jobs will your project create directly?  | Full-time equivalent (FTE) for each year of the project (overall average or breakdown by year):      FTE over the life of the project (additive):      FTE beyond the life of the project:       |
| How does the project contribute to recovery from COVID-19? Consider things such as, but not limited to, generating new employment and maintaining existing workforce capacity. Provide information about the local context, if relevant.*(maximum 300 words)* |       |

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| 1. Implementation of the National Policy Statement for Freshwater Management (council applicants only)
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| *This question applies only if you are applying on behalf of a regional council, unitary authority or territorial authority. See the Guide for Applicants 2020 for information on how to complete this question.* |

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| How does this project relate to the council’s implementation of the National Policy Statement for Freshwater Management? *(maximum 200 words)*  |       |
| How will the project support the transition to managing water quality and quantity within limits?*(maximum 200 words)* |       |

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| 1. **What environmental, social, cultural and economic benefits will occur as a result of this project?**
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| *Please explain what benefits will occur as a result of this project being funded. For example, your project may provide specific ecosystem services. Ecosystem services are the benefits people obtain from ecosystems, such as:** *food*
* *freshwater for drinking, irrigation, cooling*
* *habitats for species*
* *aesthetic appreciation*
* *spiritual experience and/or sense of place.*

*See the Guide for Applicants 2020 for information on how to complete this question.* |

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| 1. **Project objectives**
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| Provide between three and six brief statements that describe the objectives of your project. Note that some project outcomes will be achieved over a longer timeframe, however, the objectives described here must be achievable within the length of the funding. Please ensure that:* objectives are SMART (Specific, Measurable, Achievable and Realistic within the timeframe of the project). Refer to appendix 2 of the Guide for Applicants 2020 for more information on setting SMART objectives
* all objectives are clearly defined and achievable within the length of the funding
* each objective has to have at least two to six outputs.
 |
| Objectives Describe the tangible results your project is trying to achieve.  | Key outputsNumber of kilometres of fencing, number of plants, wetland hectares restored and/or created are measurable values that show progress towards objectives. |
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| 1. **Risk management**
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| *Provide a brief description of the major risks to the project achieving the intended outcomes. Include consideration of potential barriers that may pose a risk to the success of the project. Where possible, give an indication of the likelihood and significance of the risk and any mitigation strategies to be included in the project.**See the Guide for Applicants 2020 for information on how to complete this question.* |
| **Potential risk***Identify the potential risk to your project (for example, project not completed on time, unpredictable events such as weather, lack of resource commitment, time and cost estimates too optimistic, unexpected budget cuts, stakeholders changing requirements after the project has started, risks to the industry or sector to which the organisation belongs).* | **Likelihood of risk occurring***Low, medium or high.* | **Consequence on project***Minor, moderate or severe.* | **Impact on project***Describe the impact the risk would have on the project if it occurred (for example, misunderstandings, duplication of work, incomplete work).* | **Strategy to mitigate***Describe what will be done to minimise and/or manage the risk (for example, project manager monitors functional roles to ensure enough time is allocated to complete each task and activity, and the project as a whole).* |
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| SECTION C: Resources and capability |

*See the Guide for Applicants 2020 for information on how to complete this section*.

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| 1. **Partnership and collaboration**
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| *You must be able to show the project will involve the necessary partner organisations to ensure its success. Provide details of organisations you will be partnering with in the delivery of this project. Please outline the nature of each of the partners’ involvement and what they will contribute to the successful delivery of the project. See the Guide for Applicants 2020 for information on how to complete this question.* |
| **Organisation name** | **Contact details***Name, phone number and email* | **Details of involvement or collaboration***For example, contribution of funding or resources, involvement in decision-making, responsibility for delivering a component of the project.* |
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| 1. **Project team**
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| *You must be able to show the project will engage personnel with the required technical, project management and financial management skills to successfully deliver the project. Provide details of your proposed project team and confirmation of their availability for the length of the project. Note that it is mandatory to provide the details of your project manager.**See the Guide for Applicants 2020 for information on how to complete this question.* |
| **Name** | **Organisation** | **Role in project** | **Confirmed** | **Phone** | **Email** |
|       |       | Project manager *Note that you* ***must*** *provide a copy of the project manager’s CV or a job description for the project manager as part of your application.* |       |       |       |
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| 1. Governance and management structure
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| *See the Guide for Applicants 2020 for information on how to complete this question.* |

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| **Project governance** *Describe the governance structure(s) that will be implemented to ensure monitoring and management of performance and effective decision-making occurs. Include information on members of the governance group and their skills.**(maximum 300 words)* |       |
| **Managing funds***Provide information about how you will manage the project funds if your application is successful. Include information about how you will procure goods and services, approve payments, and monitor and address budget overspend.**(maximum 250 words)* |       |

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| 1. **Health and safety**
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| *It is important that you have the necessary health and safety policies, resources and expertise to safely undertake and complete the project. You must comply at all times with the requirements and provisions of the Health and Safety at Work Act 2015*. *You will be asked to submit a health and safety plan for your project if you are invited to proceed to Stage 2. See the Guide for Applicants 2020 for information on how to complete this question.* |
| Does your organisation have a health and safety policy? | [ ]  | Yes | [ ]  | No |
| *If yes, state when this was last reviewed and/or updated.* |
|       |
| Has your organisation been issued with any notices under health and safety legislation? | [ ]  | Yes | [ ]  | No |
| *If yes, please provide details.*      |
| Who will be responsible for the health and safety of the project? |       |

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| 1. **Environmental compliance**
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| *See the Guide for Applicants 2020 for information on how to complete this question.* |
| Do you require any statutory or non-statutory permissions to complete the project? *For example, resource consents, planning consents or landowner permissions?* | [ ]  | Yes | [ ]  | No |
| *If yes, which permission(s) are required? Have you applied for these? If so, when is a decision expected (if known)?*      |
| Has your organisation received any prosecutions under the Resource Management Act 1991 during the past five years? | [ ]  | Yes | [ ]  | No |
| *If yes, please provide details.*      |

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| SECTION D: Additional information |

*See the Guide to Applicants 2020 for information on how to complete this section.*

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| 1. **Conflicts of interest**
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| *Describe any known conflicts of interest (actual or potential) and steps you will take to manage them. Before completing this section, see the Guide for Applicants 2020.* |

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| 1. **Is there anything else we need to consider about your application?**
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| *Provide additional information you or your organisation consider is important but that has not been covered in previous questions in this application form. Supporting information must be directly related to the project proposal, the issue you are trying to address or the solution being proposed. (Maximum 400 words and one accompanying document).**Refer to the Guide for Applicants 2020 for further information.* |

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| Declaration |
| *This declaration must be completed by a person with the organisation’s signing authority. See the Guide for Applicants 2020 for further information on how to complete this question.****Important:*** *Please contact the Ministry if you have any queries about the terms and conditions of the deed of funding for the Freshwater Improvement Fund.* |
| As a duly authorised representative of the organisation as noted in section A of this Freshwater Improvement Fund application form:* I declare that my project meets all of the eligibility criteria for the Freshwater Improvement Fund (*see page 5 of this application form*).
* I declare that, to the best of my knowledge, the information contained in all sections of this application form, or supplied by us in support of our application, is complete, true and correct.
* I declare that I have the authority to sign this application form and to provide this information.
* I declare that the application is not being made by an organisation that is in receivership or liquidation, or by an undischarged bankrupt.
* I declare that I have provided information about any actual or potential conflicts of interest (in question 15) and I will promptly inform the Ministry for the Environment of any such conflicts if they arise following the submission of this application.
* I understand that information presented to the Minister for the Environment and Ministry for the Environment is subject to disclosure under the Official Information Act 1982, other legislation, court orders, and in response to Parliamentary questions.
* I understand my rights in accordance with the Privacy Act 1993.
* I agree that the Ministry for the Environment can undertake, for the purpose of assessing eligibility and suitability for Freshwater Improvement Fund funding, a background check on the applicant(s), including but not limited to credit checks, criminal record checks and reference checks from other parties, and may liaise with local and national organisations about this application.
* I understand that, if I receive an invitation to proceed to Stage 2 of the funding process, this is not a confirmation of funding and the final decision is subject to a successful completion of Stage 2.
 |
| Name |       |  |
| Position |       |  |
| SignatureBy typing your name in the space provided, you are electronically signing this application form. |       | Date       |  |
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| Checklist |
| Use the following checklist to confirm you have provided all the required information in your application.**Do not include any attachments that the Ministry has not specifically requested**. **These will not be given to the assessment panel.** |
| [ ]  | All sections of this Application Form (Part 1) have been completed (using ‘N/A’ or ‘none’ if required). |
| [ ]  | All sections of this Application Form (Part 2) have been completed (using a zero if required). |
| [ ]  | All $ figures provided in this Application Form (Part 1) and (Part 2) add up and are consistent throughout the application.  |
| [ ]  | Declaration on the Application Form (Part 1) has been electronically signed and dated. |
| [ ]  | A copy of the CV for the project manager listed in question 11 is attached (if confirmed). |
| [ ]  | Letters are attached confirming co-funding for your project from each organisation listed as ‘external funding sources’ in Application Form (Part 2).  |
| [ ]  | **Optional –** **one additional document** in support of your application. This must be directly related to the project proposal, the issue you are trying to address or the solution being proposed.  |
| [ ]  | Application form, project budget and any supporting information will be submitted as **one email only**. (Documents submitted as multiple emails will **not** be accepted.) |
|  |  |