Te Tahua Pūtea mō te Kirihou Auaha

Plastics Innovation Fund

Guide for applicants

Ministry for the
Environment
Manatū Mō Te Taiao

Te Kāwanatanga o Aotearoa
New Zealand Government

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Contents

About this guide

Congratulations! You have been invited to submit your full application for funding from the Plastics Innovation Fund (PIF).

This document supports you as you complete your application. It covers the new sections of the application form and, where applicable, provides more information about the questions being asked.

Other guides

Please use this guide together with:

- Fund Management System (FMS) Client Portal Guide for Applicant Organisations
- the five strategic outcomes outlined on the Te Tahua Pūtea mō te Kirihou Auaha Plastics Innovation Fund website.

We (the Ministry for the Environment/the Ministry) suggest you read these documents before you prepare your application.

Tēnā koutou, tēnā koutou, tēnā koutou katoa.

Application form: additional information

Below is a guide to the sections of the application form that request further information.

Information brought forward

All information entered in the expression of interest (EOI) is carried through into the application form.

You do not need to provide any further information in the pre-populated areas, unless you have been asked via feedback from your investment manager on your EOI. This feedback is in the 'PIF successful expression of interest letter' sent to your FMS account or through the system comments. Your investment manager will guide you through the feedback and make sure you focus only on what you need to update.

Please note that application forms that are incomplete are likely to be declined. Applications must align with the original claims made in the EOI.

Significant and unrequested changes to pre-populated areas may alter the outcome of your application.

Additional fields and supporting information

As well as any requested updates, you must complete the additional fields in the application form, to provide the Ministry with detailed project information. We will assess your application to decide on funding.

Below is section-by-section guidance for the additional fields in the application form.

Project summary

Referees

The PIF has a documented reference check and due diligence process relevant to the complexity of the project and the level of funding requested. In all cases, we will check references. Your referees should be independent, yet knowledgeable about your organisation and its governance and people, in terms of the project. Please provide at least two external referees.

> **Tip**
> - Inform your referees about your proposal by giving them a copy of your EOI or the full application.

Funding Summary

This section will be pre-populated using the information you supplied at the EOI stage.

If you are requesting more than NZ$1 million in funding (ie, projects with a total cost of NZ$2 million and above) you may need to provide a business case. You must also upload an assessment and calculations of your project's impact on greenhouse emissions. Your investment manager will have explained any specific requirements when you were proceeding to the application stage.

> **Tip**
>
> Read these Ministry for the Environment guides:
>
> - Developing a business case: Waste funds: Guide to providing business cases for large projects
>
> - Calculating carbon emissions: Measuring and reporting greenhouse gas emissions: guide for organisations

Project results

The results section helps to measure the impact of your project. Results are quantitative indicators of any change after the project ends.

Targets are recorded under results indicators. You will need to forecast a target and track your progress over time. Results will be evident either while the project is underway, or after it is completed.

In the dropdown list in the results section, select the indicators that best fit your project, and enter your baseline and targets. To calculate the targets, please subtract the baseline from the new total you expect to see when the project is implemented.

Some indicators have disaggregation fields, where you can break down data to record results by region and targeted plastic types. This provides more detail about a total. Make sure you scroll down to the end of the pop-up window to see if this is applicable. You can find examples of the result indicators in appendix 1 of this guide.

The screenshot below is an example of how the results table will populate when you click Save.

Project Results

Code	Name	Baseline	Description	Target
Waste	Reduced waste to landfill -diverted (re-used, recycled, recovered)	0	Following the implementation of the plastic product stewardship scheme at X region, the project will annually divert an additional 20,000 tonnes of plastics from landfills.	20000

> **Tips**
> - The baseline is the situation before the project begins.
> - Only use numbers in the baseline. Add any details in the description field.
> - Be careful not to measure the same result twice, under different indicators.
> - The target is cumulative for the project life and post-project reporting period (three years). If you reach the target in Year 1 of the project, do not add it again in subsequent years. For example, if you aim to employ two people and achieve this in Year 1, the target should be two for Year 1 and zero for all other years, for a total target of two.
> - The totals in the disaggregation fields must reflect the target.
> - Results may be reported up to three years after the project is completed.

Project delivery

Managing funds

This section highlights how you will manage the funds. Include information about how you will procure goods and services, approve payments, and monitor and address budget overspend and constraints.

Governance

Successful projects have governance structures with clear roles, responsibilities and decision-making. Include information on how you will govern the project and who will lead it. Let us know who is in the governance group, and how often they will meet to monitor and manage progress. Demonstrate that the level of governance is appropriate to the project's complexity and structure.

Governance aspects

- Project or steering committee (including members, responsibilities and meeting schedule).

- Governance arrangements with sub-contractors or partners.

- Processes for tendering.

- Processes for monitoring and auditing.

- Processes to ensure financial accountability for spending public funds.

- Health and safety procedures.

Health and safety

You must have a health and safety policy in place, and submit a copy. PIF funding can contribute to health and safety documentation, resources and expertise at the first milestone of your project, if these are not in place already.

If your project involves third parties such as consultants or subcontractors working on site, the health and safety plan must address how you plan to consult, cooperate and coordinate with each other.

If your application is successful, you will submit a milestone report that includes any health and safety activities completed, and any accidents and occurrences of serious harm or near-misses during the reporting period.

Conflict of interest

Identifying any conflict of interest is vital. This may be actual (where the conflict currently exists); potential (where the conflict is about to happen or could happen); or perceived (where other people may reasonably think that a person is compromised).

Please upload your organisation's conflict of interest policy to your application. If this isn't available, you must draw one up for the first milestone. If you note any conflicts of interest, you must develop a management plan.

Statutory permissions

Please list any statutory permissions you will need. These are any approvals, consents, licences or permissions from the local or territorial authorities to enable the lawful implementation of proposed activities, and for where the project will be based. For example, if you are building a new facility, you may need a resource consent and a building consent. You can include these as activities in your project plan.

Statutory and regulatory disclosure

This section refers to any statutory or regulatory warnings, notices, infringement or enforcement actions, prosecutions or other legal actions issued or taken against the applicant organisation. You must disclose any actions issued against your organisation or any of its directors or other officers, senior staff members or key project personnel within the last 10 years.

Sub-contracting details

If applicable, list all the sub-contractors involved. Include the scope of contracting work and an estimated contract value.

Workplan

Project plan and estimated budget

The budget estimate summary table is pre-populated with the information in the EOI. The budget breakdown for your milestones must align with the information in the budget estimate summary.

In this section you will describe a plan for the project activities, and the budget. Please do this by organising the activities into time-based milestones.

Milestones

A milestone marks a significant stage, where a group of related activities have been completed, driving the project a step closer to its objectives. The milestones and activities should reflect the complexity of your project. Usually, projects will have between two and four milestones per year.
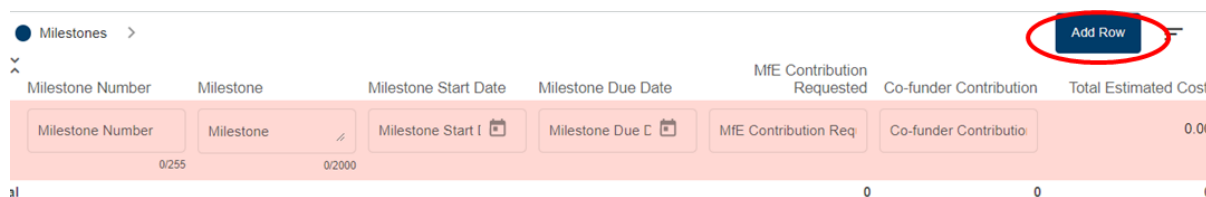
The milestones and activities must align with the objectives. When planning the milestones, make sure your activities are achievable within the timeframe. Milestone activities require evidence of completion – we refer to these as deliverables. When selecting a deliverable, think about the logical result of the activity. For example, if the activity is to procure a capital asset, the deliverables could be the invoice and record of payment for that asset. For examples of milestones, see appendix 2 of this guide.

At this stage, milestones should indicate the timeframe, activities and budget for the whole project. A good level of detail for the first year is required, but details of deliverables are not necessary.

Adding a milestone

There are three steps for adding a milestone in the Fund Management System (FMS).

Step 1: Click Add Row.

A milestone window will pop up. Fill in the row by adding the milestone name, start and due dates, the funding expected from the Ministry, and the total contribution from the applicant and any third-party co-funders.

Step 2: Add Activities and Deliverables.

Click the small arrow to the left of the milestone row and then click Add Row. You must add a row for each activity, but you do not need to add a deliverable at this stage.

Step 3: Add the Budgeted Expenses information.

Click the small arrow under Activity Number then click Add Rows. Here you specify the cost of the activity described in the previous step. Not every activity has to have a cost, but the total costs given at the Budgeted Expenses level should equal the total milestone cost at level one.

Make sure to click Save to record your information. Once it is saved, the final row will only display the information entered during the first step. The PIF team will be able to see the activities and deliverable content. You can repeat the process to add as many activities as needed.

To review and edit the information entered at each step, use the small arrows on the left to open each level.

> **Tips**
>
> - Please name milestones using the convention Y#M#: Y is the project year and M is the milestone number. For example, the first milestone would be Y1M1, and the second milestone in the third year would be Y3M2.
>
> - To download an excel spreadsheet of your milestones, click the download icon and choose the xlsx option. This can be helpful when checking the budget totals.

Project risks and mitigations

A risk is an event that could have a negative effect on your project, and might delay or jeopardise the outcomes. Setting up your project for success includes identifying and assessing all perceived risks, and creating a mitigation plan. Appendix 3 of this guide outlines some common risks.

Checklist and next steps

Sending your application

Make sure that you have:

- completed all the fields

- uploaded all supporting documents, including letters from co-funders, partners, iwi and other stakeholders

- included the health and safety policy, or a plan to formalise one

- included the conflict of interest policy, or a plan to formalise one

- if you are seeking over NZ$1 million in funding, attached a business case and emissions assessment (if requested).

Declaration

The declaration must be completed by a person with signing authority (eg, the chief executive officer or equivalent). This person may be different from the primary contact person for the application. Include the name, position and signature of the organisation's signing authority.

Assessment and next steps

Decision-making and confirmation of intent to proceed

Complete applications that align with the PIF objectives will be assessed using a structured and documented process. This process makes use of the scoring guide and may include advice from subject matter experts or Ministry policy advisors. The scoring tool is one of the factors we consider in assessing projects. Other factors, including information received in due diligence, will be considered. High-value or complex applications will also be assessed by an independent panel and will require approval from the Minister for the Environment.

All assessed applications will be presented to decision-makers for consideration. The decision may be to request more information, to decline funding, or to move forward with funding, with or without conditions. If the decision is to proceed, applicants can access the confirmation of intent to proceed document via the Ministry's online portal. This contractual document allows you to progress to the next stage of the funding process.

Project-planning stage (three-months)

The Ministry's online portal has a detailed project plan template. This will be populated with information you have already supplied. You will have to summarise and consolidate the project benefits at this time in the project plan in the benefits section, from your answers to questions 1 to 8 in the application form. You must report on statements made in this section when the project ends, and subsequently.

The populated project plan will be attached to Deed of Funding. The Waste Investments Deed of Funding template is on the Ministry's website. The deed guides the management of the project. These documents set out exactly what will be delivered, when, and at what cost.

Applicants have a maximum timeframe of three months to complete this information. This stage is the most in-depth of all pre-project stages and will require dedicated time and attention to detail. An investment manager will be assigned to guide you through this process.

Sign-off and project launch

The investment decisions for projects with a Ministry contribution of over NZ$1 million are made by the Minister for the Environment. Other projects receiving less than NZ$1 million are decided by the delegate of the Secretary for the Environment. When all documentation is complete, the project is presented to the relevant decision-maker, who will approve or decline it. A project can only begin when it receives final approval and the Ministry and the recipient have signed the contract.

Ongoing reporting and project management

As per the project plan and deed, successful applicants must report regularly on their milestones and key performance indicators, through the FMS. Milestone reports will include relevant accompanying information, after which the investment manager can process the contractual payments. Milestone payments will be paid in arrears. The actual milestone payment amount will be based on progress up to the approved amount towards the milestone, or the Ministry's contribution percentage if the budget is underspent. Recipients must also report annually, and after the project ends.

Appendix 1 – Examples of project result indicators

Indicators and definitions	Samples

Indicator

Co-funding unlocked

Description:

The project to expand the food rescue programme in X region will receive $200,000 in co-funding from X and Y organisations.

Definition

Value of additional investment in waste minimisation resulting from the project.

Unit of measure: Dollars

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
$0	$100,000	$100,000	-	Bay of Plenty – Te Moana a Toi	$200,000	Commercial food waste	$200,000
Totals	$200,000				$200,000		$200,000

Indicator

Estimated weight of reduced imports as displaced by recovered resources

Description:

Setting up the recycling plant in Auckland will produce 1,000 tonnes of recycled plastics that can be used to replace virgin plastic, minimising imports.

Definition

Indicates the change in amount of imported materials used.

Unit of measure: Tonnes

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	0	500	500	Auckland – Tāmaki Makaurau	700	Plastic Type 4 – LDPE	800
				Waikato	300	Plastic Type 6 – EPS	200
Totals	1,000				1,000		1,000

Indicators and definitions	Samples

Indicator

Employment created by project (FTE per annum equivalent)

Description:

To implement the programme, the organisation will need to increase its capacity from 10 to 15 employees – with 5 new FTEs at the composting facility at X region, within six months of commissioning the new equipment.

Definition

Economic impact indicated by number of FTE roles.

Unit of measure: People

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
10	5	-	-	Auckland – Tāmaki Makaurau	3	Household food waste	3
				Waikato	2	Commercial food waste	2
Totals	5				5		5

Indicator

Increased waste minimisation behaviour – data collected via survey, feedback or similar

Description:

Evaluate the effectiveness of behavioural change interventions to reduce contamination rates of kerbside recycling in the Auckland region. We will audit the recycling bins during the pre-media campaign, and three and six months after implementation to evaluate the rate of change in adoption.

Definition

Indicates the change in behaviour from an established baseline. It could be a pre and post campaign survey or direct observational measurement.

Unit of measure: Percentage

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	60%	-	-	Auckland – Tāmaki Makaurau	60%	Not applicable	
Totals	60%						

Indicators and definitions	Samples

Indicator

Increased awareness or knowledge of waste minimisation – data collected via survey, feedback or similar

Definition

Indicates the change in awareness from an established baseline. It could be a pre and post campaign survey.

Unit of measure: Percentage

Description:

Survey a trial area to determine the participation rate of residents in the newly rolled-out food scrap kerbside collection service. We will use the output to design a campaign strategy to encourage the uptake of the new service. Following the campaign, we expect a 50% increase in the participation rate.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0		35%	15%	Taranaki	50%	Not applicable	
Total	50%						

Indicator

Number of alternative, innovative, new or new-to-New Zealand solutions for reducing waste tested by the project

Definition

A count of the number of innovative solutions without measuring reach or impact (actual or forecast) of these solutions. It would apply to a feasibility or investigative projects rather than working projects.

Unit of measure: Number

Description:

The feasibility study will investigate the viability of a chemical recycling technology in the context of the New Zealand market. The technology will break plastic down into monomers to be used to manufacture new products. We will examine all aspects of the proposed advanced recycling solution, including technical, economic, financial, legal and environmental.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	0	0	1	National – Motu	1	Plastics 1, 2 and 5	1
Totals	1				1		1

Indicators and definitions	Samples

Indicator

Number of alternative, innovative, new or new-to-New Zealand solutions for reuse of resources tested by project

Description:

Design and test a reusable product that will replace the equivalent disposable product in the market.

Definition

A count of the number of innovative solutions without measuring reach or impact (actual or forecast) of these solutions. It would apply to a feasibility or investigative projects rather than working projects.

Unit of measure: Number

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	0	0	1	Auckland – Tāmaki Makaurau	1	Plastic Type 5 -PP	1
Totals	1				1		1

Indicator

Number of cultural indicators or measures used in data monitoring and management

Description:

Our iwi will develop an organisational waste strategy for para kore (zero waste). It will consider te ao Māori views and include cultural indicators to monitor the solutions. At least three cultural indicators will be embedded in our strategy.

Definition

Reflects integration of te ao Māori worldviews (eg, mātauranga Māori and tikanga Māori) into waste minimisation solutions.

Unit of measure: Number

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	3	-	-	Northland – Te Tai Tokerau	3	Not applicable	
Totals	3						

Indicators and definitions	Samples

Indicator

Number of formal community/iwi/industry/government partnerships developed as part of or as a result of the project

Definition

Reflects an expansion of the network of organisations involved in waste minimisation.

Unit of measure: Number

Description:

Develop and sign three memoranda of understanding with local rūnanga/runaka/iwi at X region.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	1	1	1	West Coast – Te Tai Poutini	3	Not applicable	
Totals	3				3		

Indicator

Number of guidelines created or implemented for best practice for disposing of waste

Definition

Applies to projects that are formalising best practice guidelines or making changes to enable the implementation of best practices.

Unit of measure: Number

Description:

Develop a methodology for collecting and processing commercial organic waste, minimising contamination and resulting in a compostable by-product that can be reused to produce high-quality fertiliser.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	-	1	-	National – Motu	1	Commercial organic composting	1
Totals	1				1		1

Indicator

Number of international or domestic laws, policies, conventions, etc that the project increases compliance with or awareness of

Description:

Establish a plant in New Zealand to manufacture bamboo cotton buds to replace single-use plastic cotton buds, to support the New Zealand government's phase-out of plastic.

Baseline	Target	Disaggregation

Indicators and definitions	Samples

Definition

A count of international or domestic laws, policies, conventions, etc. It indicates changing practices and compliance in waste.

Unit of measure: Number

	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	0	0	1	National – Motu	1	Plastic Type 5 PP	1
Totals	1				1		1

Description:

Register all national importers, processors, manufacturers and collectors of e-waste as well as territorial authorities, to participate in developing an e-waste disposal strategy to standardise the requirements for recycling and disposing of e-waste safely and effectively.

Indicator

Number of organisations engaged in product stewardship scheme

Definition

Indicates the reach and impact of product stewardship schemes.

Unit of measure: Number

Baseline		Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0		1		National – Motu	1	E-waste	1
Total	1				1		1

Description:

Free educational workshops to reduce organic waste in the hospitality industry in the Nelson–Whakatū region. The aim is to engage at least 600 businesses by the end of the project, inviting at least three employees per business.

Indicator

Number of people (eg, from schools, NGOs, businesses) attending presentations or workshops

Definition

A count of attendees which will indicate the potential scale of impact.

Unit of measure: People

Baseline		Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	600	600	600	Nelson – Whakatū	1,800	Not applicable	
Totals	1,800				1,800		

Indicators and definitions	Samples

Indicator

Number of projects that are co-designed or led by iwi

Definition

Reflects the uptake and facilitation of waste minimisation solutions co-designed or led by iwi.

Unit of measure: Number

Description:

Engage iwi in the South Island to ensure that they all have para kore (zero waste) strategies to minimise waste and promote the implementation of te ao Māori views, to support sustainability.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	3	3	3	South Island – Te Waipounamu	9	Not applicable	
Total	9				9		

Indicator

Processing capacity expanded by new infrastructure

Definition

Increased capacity to collect, consolidate, transport or process waste. Could apply to individual waste streams or materials (eg, sorting plastics by eye into multiple material types).

Unit of measure: Tonnes

Description:

Increase the processing capacity of wood waste in the Manawatū-Whanganui region by 10,000 tonnes following the commissioning of new equipment.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
20,000	0	0	10,000	Manawatū – Whanganui	10,000	Timber	7,000
						Treated timber	3,000
Total	10,000				10,000		10,000

Indicators and definitions	Samples

Indicator

Reduced waste to landfill – waste not created (any diverted waste (reused, recycled, recovered) should be counted as diversion, and not included as a reduction)

Definition

Waste avoidance from alternative projects or practices, improved designs of systems, better practices, more collection streams and initiatives in schools, industry, marae and community groups to reduce waste.

Unit of measure: Tonnes

Description:

Test and design a compostable product that can biodegrade and provide nutrients to the soil in natural surroundings. This solution is at the top of waste hierarchy – it designs out plastic waste and will reduce waste created by 1,000 tonnes per annum from the second year. Target does not include three years of post-project reporting.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	0	1000	1000	South Island – Te Waipounamu	2000	Plastic Type 2 – HDPE	2000
Totals	2000				2000		2000

Indicator

Reduce waste to landfill and divert (reuse, recycle, recover)

Definition

Waste minimisation and diversion of waste to landfill to beneficial reuse, recycling or recovery through innovative and alternative projects, better system design, better practices, more collection streams and initiatives in schools, industry, marae and community groups.

Unit of measure: Tonnes

Description:

When the food waste kerbside collection service is underway in Auckland, the project will annually divert an additional 20,000 tonnes of food waste from landfills to composting facilities.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	0	10,000	10,000	Auckland – Tāmaki-makaurau	20,000	Household food waste	20,000
Totals	20,000				20,000		20,000

Indicators and definitions	Samples

Indicator

Uptake of educational tool/resource

Definition

Uptake of deliverables, such as app, guideline, educational tool. Form of uptake will vary (eg, downloads of app, hire/use of tool.

Unit of measure: Number

Description:

Launch an educational mobile app to encourage reuse. The app users will learn the value of the circular economy, and consequently reduce their use of disposable items.

Baseline	Target			Disaggregation			
	Y1	Y2	Y3	NZ regions	Value	Waste material	Value
0	-	1		National – Motu	1	Plastics 1–7	1
Total	-	1	-		1		1

Appendix 2 – Example of a milestone table

Milestone number	Milestone name	Start date	Due date	Ministry contribution	Co-funder contribution	Estimated cost	Activities	Deliverables

Y1M1	Install equipment and set up processes	01/01/2023	30/06/2023	$200,000	$200,000	$400,000	1. Install machinery and prepare site for new community recycling hub
							2. Develop an H&S plan for the hubs, and a socialisation strategy
							3. Provide materials and equipment to each participating organisation or marae
							4. Contract agencies to develop work packages (if applicable)
							5. Complete Ministry reporting requirements
								1. Photos of installed systems and technical report of processing capacity
								2. H&S plan and socialisation strategy
								3. Photographs of materials and equipment at each site, participating organisation or marae
								4. Examples of the work done by the contracted agencies
								5. Complete Ministry reporting requirements
								  – Milestone report (online)
								  – Summary of expenses (with income and expenditure statement and documents verifying expenditure)
								  – All invoices over $2,000 excl GST
								  – Tax invoice to the Ministry for the claimed amount

Y1M2	Programme and workshop delivery	01/07/2023	15/01/2024	$85,000	$85,000	$170,000	1. Confirm programme of work, timeline of delivery and allocated resources 2. Deliver community engagement activities, eg, education workshops, wānanga 3. Collect data; environmental audits	1. Programme of work timeline, progress and status 2. Activity report, including time, location, number of participants 3. Activity report detailing data collection process; may include raw or initial summary of data

Milestone number	Milestone name	Start date	Due date	Ministry contribution	Co-funder contribution	Estimated cost	Activities	Deliverables
							4. Hold (number) workshops or wānanga throughout (location) 5. Send a survey to participants at the start, to collect baseline data and stocktake recycling behaviour 6. Complete Ministry reporting requirements	4. Log of workshops, number of educators and participants, photos of workshops (with participants' consent) 5. Survey questions and baseline data (with participants' consent) 6. Complete Ministry reporting requirements − Milestone report (online) − Summary of expenses (with income and expenditure statement and documents verifying expenditure) − All invoices over $2,000 excl GST − Tax invoice to the Ministry for the claimed amount
Y1M3	Promotion and community outreach	16/01/2024	30/06/2024				1. Complete website and all promotional material 2. Coordinate programme launch and site opening to the community 3. Complete Ministry reporting requirements	1. Promotional material and URL of active website 2. Ministry attendance at site launch and/or evidence of launch (eg, photos) 3. Complete Ministry reporting requirements − Milestone report (online) − Summary of expenses (with income and expenditure statement and documents verifying expenditure) − All invoices over $2,000 excl GST − Tax Invoice to the Ministry for the claimed amount

Appendix 3 – Example of projects' risk and mitigations

Risk	Category	Likelihood	Severity	Impact	Impact details	Mitigation	Residual risk
Cash flow issues, if milestones are delayed	Financial	Low	High	High	Delay in implementation, or project suspension	Sound governance and financial management; regular proactive communications with all parties to manage cash flow	Delays completing milestones
Organisation restructure	Governance	Low	Low	Medium	Personnel capacity and continuity	Review resourcing needs; recruit accordingly; establish a dedicated team to deliver on the milestones	Delays completing milestones
Potential for injury to staff on site or participants in community activities	Health and safety	Low	Low	Low	Potential for injury to staff on site or participants in community activities	Develop comprehensive health and safety plans for onsite safety of staff and community participants; put insurance packages in place; strictly adhere to Health and Safety Act and WorkSafe guidelines	Delays completing milestones due to staff absence
Personnel capacity to manage project	Operational	Medium	Medium	High	Delays completing objectives and milestones	Understand FTE requirements, skills and staffing for a successful project; recruit and budget accordingly	Delays completing milestones due to capacity
Pandemic risks	Delivery	Low	Low	Low	Delay meeting milestone due dates and deed expiry date	Develop contingency plan to complete tasks remotely where possible. Otherwise, promptly communicate implications and agree to adjust tasks/schedule; vary process if required.	Delays in delivery
Stakeholder concerns	Reputation	Low	Medium	High	Negative media coverage and public discontent with the project	Develop a strong stakeholder engagement plan; depending on scale and value of project, consider hiring a public relations specialist	Public discontent

Likelihood = chance of event happening

Severity = seriousness of possible results from event

Impact = extent to which event may affect the organisation