

Contaminated Sites Remediation Fund

Guide for applicants for project funding

Disclaimer

While every effort has been made to ensure that this guide is as clear and accurate as possible, the information it contains is general guidance only, and does not constitute legal advice. In the event of any uncertainty, the applicant should obtain independent legal advice.

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Contaminated Sites Remediation Fund Application form for project funding

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About this document

Purpose of this document

This document provides information about the Contaminated Sites Remediation Fund (CSRF) and guidance for completing an application for funding for a contaminated site investigation and/or remediation project.

It provides an overview of the full funding process, and focuses in detail on the application process. Please read the guide carefully to ensure your project supports the CSRF eligibility and assessment criteria.

This guide does not create a legally binding obligation between the Ministry for the Environment (the Ministry) and an applicant, and it should not be assumed that funding will be granted.

Intended audience

The primary intended audiences for this document are regional councils (RCs) and unitary authorities (UAs) who want to seek funding for a contaminated sites investigation, remedial planning and/or a remediation project from the CSRF.

How to use this guide

Use this guide in conjunction with the *Contaminated Sites Remediation Fund Application form for project funding* (the application form).

We suggest that you read both the guide and application form right through before you begin filling the application form out. This guide is divided into seven sections:

- **Introduction:** provides background information about the CSRF
- **The Contaminated Sites Remediation Fund:** provides information about how the Ministry for the Environment supports local government through the administration of the CSRF
- **Overview of the CSRF funding process:** gives an overview of the funding process, including the key dates
- **Eligibility and assessment criteria:** lists the eligibility and assessment criteria for the CSRF and provides information about how the applications are assessed
- **Managing contaminated land:** provides information about the four phases used to identify, investigate, assess and remediate contaminated land
- **Help with completing the CSRF application form:** guides you through the application form questions
- **What happens next?:** provides an overview of the next steps.

Further information

Further information is available from the Ministry:

The Contaminated Sites Remediation Team
Ministry for the Environment
PO Box 10362
Wellington 6143

Phone: 0800 499 700

Email: CSRApplication@mfe.govt.nz

Web: www.mfe.govt.nz/withyou/funding

Official Information

Important note: 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.ombudsmen.parliament.nz.

Information held by the Minister and 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. The Ministry will endeavour to contact you to discuss an OIA request relating to your application if one is received, and what the implications of releasing your information are.

The grounds for withholding 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.

Introduction

There are many sites in New Zealand that are contaminated as a result of hazardous activities in the past, or by industries such as pesticide manufacturers, coal and gas producers, mining, rubbish and disposal timber treatment.

Soil contamination has (or has the potential to have) adverse effects on human health and the environment which were not previously considered. Today this is being managed more effectively due to improved scientific information about hazardous contaminants and because of higher public expectations regarding environmental quality.

The public's awareness of contaminated land issues has increased due to:

- more frequent reporting on this topic in the media
- the Ombudsman's decision on the public release of contaminated site registers by regional councils (RCs) and unitary authorities (UAs)
- the identification of contaminated sites.

Local government is responsible for ensuring that contaminated land is managed appropriately, and has specific responsibilities under the [Resource Management Act 1991](#) (RMA).

The Resource Management Act 1991

The RMA provides for the sustainable management of natural and physical resources. It is the core piece of environmental legislation for controlling the effects of contaminated land on the environment and people.

The RMA states that planning controls are required for the effects of contaminated land, and it sets out the functions for local government in relation to contaminated land.

Contaminated land is defined under the RMA as land that has a hazardous substance in or on it that has significant adverse effects on the environment or is reasonably likely to have significant adverse effects on the environment. There are several Environmental Guideline Values that apply to a range of contaminants in soil based on the intended land use. These contaminant guideline values can be found on the Environmental Guideline Values Database on the Ministry for the Environment's website.

Under the RMA, RCs, UAs, and territorial authorities (TAs) have overlapping functions for controlling land use (eg, preventing or mitigating any adverse effects of the storage, use, disposal or transportation of hazardous substances). The RCs are required to allocate these functions under their regional policy statements. In most cases, the function is allocated to the TA, along with their other land-use control functions.

RCs and UAs are responsible for investigating land for the purposes of identifying and monitoring contamination. TAs are responsible for preventing or mitigating any adverse effects of the development, subdivision, or use of contaminated land.

The Contaminated Sites Remediation Fund

The Contaminated Sites Remediation Fund (CSRF) can support local government to fulfil their obligations under the Resource Management Act (RMA) and address challenges by:

- providing financial assistance to owners of land that is considered high-risk to the environment, and where the landowner is unable to fund the remediation or management themselves.

One of the Ministry for the Environment's (the Ministry) objectives is to ensure land is fit for purpose by ensuring that any adverse effects of soil contaminants are managed to the extent practicable, through remediation or containment. Refer to the Ministry's [Statement of Intent](#) for further information about the Ministry's priorities and objectives.

The CSRF was initiated in 1999 and is administered by the Ministry. This fund was previously known as the Orphan Sites Remediation Fund.

The CSRF has been set up to help regional councils (RCs) / unitary authorities (UAs) facilitate the investigation, remedial planning, and remediation of sites that pose a risk to human health and the environment. It is designed to encourage willing parties to investigate and remediate contaminated land.

Most land that has been identified by local government as being contaminated can be remediated and managed at the time the land is being developed. However, some sites are unlikely to ever be cleaned up without significant financial assistance from the Government. This is because the landowners/parties who contaminated the land no longer exist, or are unwilling or unable to remediate.

Funding from the CSRF is allocated to selected projects following consideration of the applications received during the funding round. This is done well before the projects start, so that funding deeds can be prepared and resource consents obtained (if required).

Priority for funding is given to sites on the Ministry's Contaminated Sites Remediation Fund Priority List (CSRF Priority List). This list details the sites that pose (or are likely to pose) a high risk to human health, or those located in an environmentally sensitive area or an area of national/cultural significance. For information on how a site is placed onto the CSRF Priority List, email CSRFapplication@mfe.govt.nz or visit MfE website and search CSRF.

Funding principles

The CSRF is underpinned by the following funding principles:

Principle	Guidance
Application guidelines met	<p>A project must meet the eligibility criteria.</p> <p>The site information in an application to the fund should be consistent with the requirements of the Risk Screening System of the Land Management Guidelines (No. 3).</p>
Annual appropriation	<p>The fund has an annual appropriation of which a set amount is available each year to RCs/UAs on a contestable basis.</p> <p>Priority for funding will go to sites on the CSRF Priority List. If the annual appropriation is not fully allocated to sites on the CSRF Priority List, the funding may be used to fund the investigation and/or remediation of other regional council priority sites.</p> <p>The CSRF may fund up to a maximum of 50 per cent of the total project costs.</p>
Funding	<p>An established partnership (for project funding) between the Government and RCs/UAs/other partners is equal (ie, maximum CSRF contribution is 50 per cent, and all other parties' contribution is a minimum of 50 per cent).</p> <p>Partnerships are developed (between the Government, local government and landowners/occupiers) to investigate and remediate a contaminated site, and to properly manage the funding received.</p>
Best practice	<p>Best practice project management methodology, generally accepted accounting practices and other tools are to be used to ensure there is accountability for the use of public funds.</p>
Sharing risk	<p>A risk sharing agreement may be agreed on before the project starts. This provides detail as to how increased project costs would be addressed throughout the duration of the project.</p>
Limited liability	<p>No liability for any site is presumed by the Government through the provision of, or application to, the fund.</p>
Increase in value of site	<p>If the value of a site increases as a result of remediation and the site is then sold, the profit (amount that is attributable to remediation) is shared between the funding parties using the same ratio as the original ratio of contributions to site investigation and/or remediation planning and/or site remediation.</p>

Overview of the Contaminated Sites Remediation Fund funding process

A successful application will go through each of the stages in the Contaminated Sites Remediation Fund (CSRF) funding process diagram below:



Talk with the Ministry for the Environment

We strongly encourage potential applicants to discuss their project with the CSRF team before applying for funding. They will also provide you with information and the necessary forms and guides.

Confirm eligibility

Potential applicants check their eligibility using the Eligibility criteria on page 10 of this guide. Please ensure your project fits the requirements before applying.

Apply for funding

Applicants complete the CSRF application form and submit it to the Ministry for the Environment (the Ministry) with the required supporting documentation. The information in the application forms the basis of the project management plan which is used to manage and monitor the project once it starts. It also ensures that the project has a sound basis on which to seek the approval of resources and authority to proceed.

The CSRF accepts applications for funding from regional councils (RCs) and unitary authorities (UAs) throughout the year, but funding decisions are made bi-annually (in April and October). As applications are received, the Ministry undertakes checks for completeness, and ensures that the eligibility criteria have been met. The Ministry will contact the primary contact person if an application is ineligible or incomplete, and the RC/UA will be given the opportunity to amend the application, provided the funding round has not closed. Applications that do not meet the eligibility criteria or are incomplete will not be assessed further once the funding round closes, and the applicants will be notified directly.

An Assessment Panel (appointed by the Minister for the Environment and comprising of externally appointed experts and Ministry staff) reviews and assesses the applications. An application's merit is considered against the other applications received. The Assessment Panel (the panel) makes a recommendation to the Minister for the Environment about whether the application for funding should be approved. The panel may recommend that less funding is granted than the applicant has requested. This means that the scope and scale of the project may need to be reviewed and

amended. The panel may also decide to grant funding subject to several conditions being met (eg, providing a site management plan and health and safety plan).

The Minister for the Environment makes all funding decisions for the CSRF, and the RCs/UAs are notified of the decision (approved, approved subject to conditions, or declined).

Any complaints about the funding decision or process will be managed in a manner consistent with the dispute's resolution procedure.

Develop and sign funding deed

The Ministry allocates a contract manager to the RC/UA whose application has been approved.

The contract manager prepares a funding deed (project agreement) which sets out the funding obligations and rights of the contracting parties, using the information in the application. This is done in consultation with the RC/UA and other interested parties.

The following information is included in the funding deed:

Detailed information

- Contracting parties and their rights and obligations
- Project duration
- Project description
- Approved grant
- Funding conditions
- Project management
- Health and safety
- Milestones, tasks and deliverables, and performance measures
- Intellectual property
- Liability
- Payment conditions.

We recommend that the standard terms and conditions be discussed with the council legal team.

Depending on the scale of the project, final copies of any required project management documents need to be submitted to the Ministry before the deed is finalised. These may include:

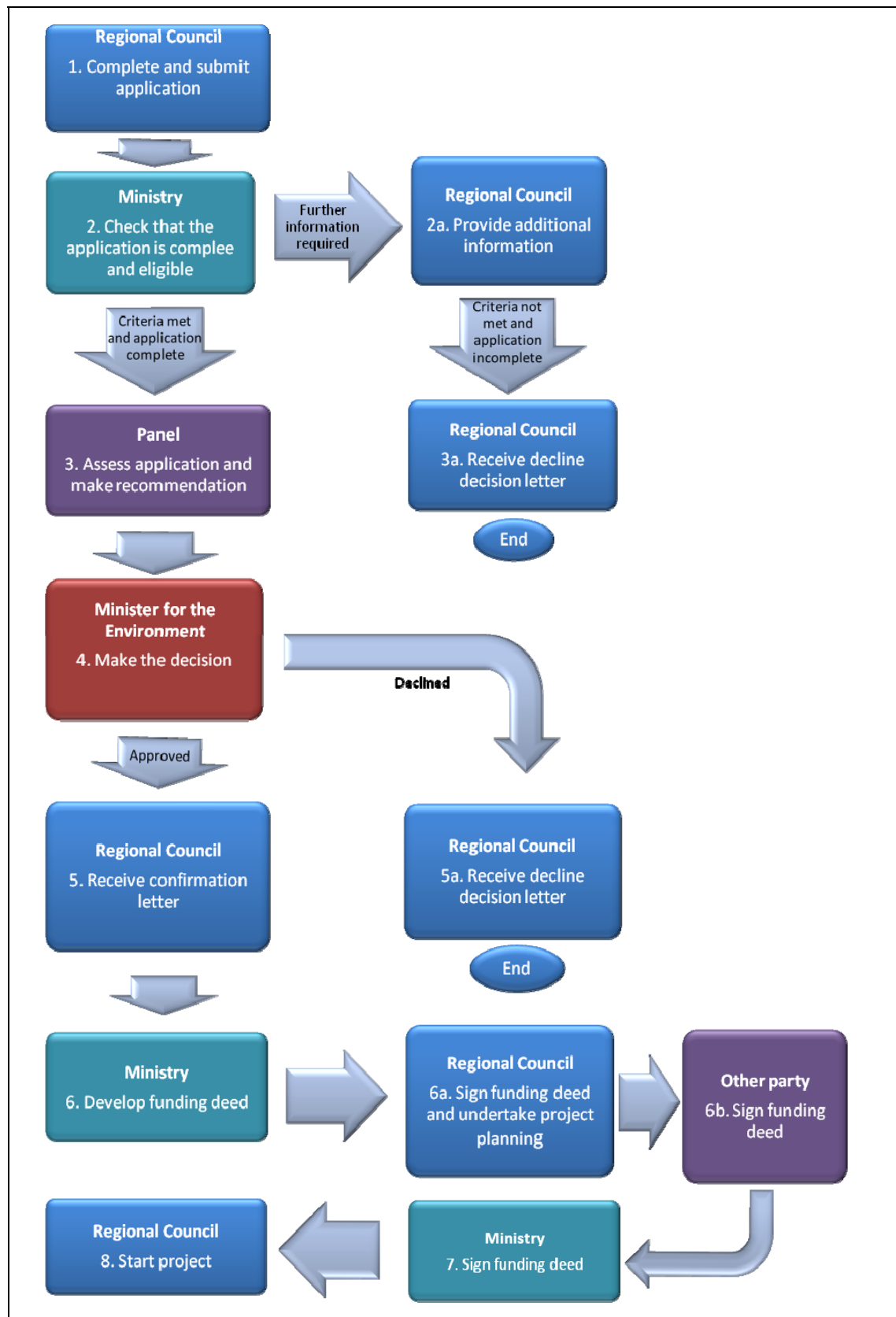
- project management plan (mandatory)
- health and safety plan (mandatory)
- risk and change management plans
- issue and risk registers.

Start project

Once the various parties have signed the funding deed, work starts on the project. It is the project manager's responsibility to undertake the day-to-day monitoring of the project, and to report on milestones as they are met. The project executive is responsible for delivering the project.

The milestones may change or become more detailed as information is gathered and/or methodologies change. The Ministry may approve variations to milestones if required through the CSRF change request process detailed within the funding deed.

The following diagram shows the funding process in further detail:



Key dates

The following table provides the key dates for the bi-annual CSRF rounds:

Date round one	Date round two	Event	Who
By last working day of March	By last working day of September	<ul style="list-style-type: none"> Complete and submit application to Ministry* 	RC/UA
April	October	<ul style="list-style-type: none"> Eligibility and completeness checks Ineligible RCs/UAs notified 	Ministry
		<ul style="list-style-type: none"> Application assessment period and recommendations made to the Minister for the Environment 	Panel
Early May	Early November	<ul style="list-style-type: none"> Final approval given to projects and successful RCs/UAs notified Unsuccessful RCs/UAs notified 	Minister/Ministry
June	December	<ul style="list-style-type: none"> Funding deed developed Funding deed signed 	RC/UA/Ministry
July	January	<ul style="list-style-type: none"> Commencement of successful project 	RC/UA

* Funding decisions are made bi-annually even though the Ministry accepts applications year-round.

These dates are a guide only and are subject to change. If your project is not ready to begin by the start date, do not apply for this funding round.

Emergency and priority funding

The Ministry will consider an application for emergency/priority funding outside of the normal funding rounds. This is subject to funds being available and when the following conditions are met:

- a source of contamination has been newly identified (or contaminants recently exposed)
 - there is an imminent or immediate risk of significant exposure to human health and/or the environment
 - immediate action is urgently required to mitigate current exposure and/or prevent the risks increasing
 - significant funding is required to undertake mitigating or remedial actions
 - there is no party responsible for the mitigating or remedial actions
- or
- a site on the CSRF Priority List requires immediate funding/urgent action before the next funding round.

In this situation, the RC/UA may contact the Ministry to discuss an emergency/priority application for funding. A completed application form should be submitted as quickly as possible, detailing the estimated costs and the work required.

Emergency Funding Example

A containment structure fails on an orphan site during an earthquake, which results in the release of toxic chemicals to the local waterway (from which the local drinking water is taken). Immediate extensive mitigation works are required to stabilise the containment structure and to prevent the ongoing discharge of contaminants.

Eligibility and assessment criteria

The Contaminated Sites Remediation Fund (CSRF) has set eligibility and assessment criteria.

Eligibility criteria

A project must meet the eligibility criteria before an application for funding may be submitted. Note that meeting the eligibility criteria does not guarantee that your project will be funded.

The following table lists the eligibility criteria:

Eligibility criteria	
1	A project will only be considered for funding after a completed application form has been submitted to the Ministry for the Environment (the Ministry).
2	The site must have been undertaking activities likely to result in site contamination at one of the following points in time: <ul style="list-style-type: none">• before the Resource Management Act (RMA) was enacted in 1991• after the RMA was enacted in 1991 but no enforcement could be undertaken by RCs, UAs or territorial authorities to investigate and/or remediate the contamination, and the activities that caused the contamination have since stopped.
3	The application must be for one or more of the following phases of remediation: <ul style="list-style-type: none">• two – site investigation• three – remediation planning• four – site remediation. Note that funding is not available for phase one (desk top study).
4	Funding is only requested for the years in which the site investigation, remediation planning and site remediation are undertaken.
5	Funding may not be used for retrospective costs (ie, for work undertaken before the application form was received by the Ministry) or for works undertaken that are outside the scope of the funding deed.
6	The application must be received from a regional council (RC) / unitary authority (UA).

Assessment criteria

Before you submit the application form, you should understand how your application will be assessed. We strongly encourage open communication with the Ministry in a timely manner, so concerns or issues are considered. Please talk to us.

Projects are measured against assessment criteria. The panel reviews, scores and assesses applications that meet CSRF eligibility criteria. Projects may also be recommended for funding, but for less than the requested amount, or with specific terms and conditions.

The Ministry may verify information contained in the application form with other government agencies.

The following table lists the assessment criteria:

Criteria	Guidance
Partnerships	Is there a demonstrated partnership between the RC/UA and other interested parties?
Risk	Does the site pose (or potentially pose) significant risk to human health or to the environment?
Project management	Has the project manager and/or RC/UA: <ul style="list-style-type: none">• demonstrated their project management expertise using best practice project management methodologies and tools• established appropriate project management structures• demonstrated capability to undertake the project (including the practicality and feasibility of the proposed actions)?
Priority	Does the site hold a ranking on the CSRF Priority List?
Responsibility	<ul style="list-style-type: none">• Does funding reflect the responsibility for the contamination?• Does the landowner/occupier's contribution towards the project costs reflect their degree of responsibility for contaminating the site (fully or partially)?
Capability	<ul style="list-style-type: none">• Do contributions from other parties reflect on their ability and/or willingness to contribute to the project?

Managing contaminated land

There are four distinct phases in managing contaminated land, after a potentially contaminated site has been identified. The following activities are undertaken during the phases:

- status of the site is confirmed
- risk posed to health and the environment is investigated
- remedial options are developed
- contamination is remediated/managed.

The Contaminated Sites Remediation Fund (CSRF) provides up to 50 per cent of the project costs for phases two, three and four of any approved contaminated site project. The regional council (RC) / unitary authority (UA) and landowner/occupier provide the other 50 per cent (or more) of funding.

The following table shows the CSRF contribution to an approved project:

Phase	Contribution from CSRF (per cent)
One – desktop study	0 per cent
Two – site investigation	Up to 50 per cent
Three – remediation planning	
Four – site remediation	

A project may apply for funding for phases two to four under the same application. A large project may choose to initially apply for funding for phase two under one application, and then submit another application for funding for phases three and four when phase two has been satisfactorily completed.

The assessment and remediation of a contaminated site is a logical process, and it is expected that each phase is successfully completed before subsequent phases are undertaken (eg, the phase two site investigation must be completed before the phase three remedial planning starts).

Phase one – desktop study

The CSRF does not provide funding for phase one projects as this is the RC/UA's core business under section 30(c)(a) of the Resource Management Act (RMA).

A RC/UA usually undertakes a desktop study when a potentially contaminated site has come to its attention. The desktop study determines the:

- likely presence of contamination that may pose a risk to human health and/or the environment
- required objectives for phase two (site investigation)
- regional priority of the site for further investigation using the [Risk Screening System of the Land Management Guidelines \(No. 3\)](#).

It is preferable for the RC/UA to undertake a peer review of the final desktop study report as a quality measure before it is submitted to the Ministry for the Environment (the Ministry). The RC/UA often undertakes the site risk screening as part of the verification process used when adding a new site to their contaminated sites register.

Phase two – site investigation

Funding is available from the CSRF for phase two projects.

Site investigations are undertaken to characterise the extent and severity of the contamination on the site. This may include extensive testing (eg, digging of test pits, bore holes and monitoring wells).

If a site investigation is required, the RC/UA may apply to the Ministry for funding and provides the desktop study report as supporting information. The application should contain an estimate of the time required to undertake the phase two activities, as well as information about the quality and quantity of the activities.

If an RC/UA applies for funding for phase two only, they need to submit a separate application for phase three and four funding once phase two has been completed successfully.

Phase three – remediation planning

Funding is available from the CSRF for phase three projects.

Phase three requires significant input from consultants who have experience in remediation techniques and methodology, and usually comprises two parts:

Part	What is undertaken
One	<p>An Assessment of Remedial Options (ARO) is undertaken as per the principles set out in the National Environment Protection Measure for the Assessment of Site Contamination 1999 (NEPC).</p> <p>This assessment identifies the optimal methods for remediation, taking into consideration the:</p> <ul style="list-style-type: none">• extent and nature of the contamination• off-site effects• proposed use of the site in the future• remediation technology to be used, and whether it is proven• costs of each option and whether funding is available. <p>Once the ARO is completed, a Remediation Options Report (ROR) is prepared and submitted to the Ministry as a deliverable.</p>
Two	<p>A Remediation Action Plan (RAP) is prepared and submitted to the Ministry as a deliverable. This details how remediation will take place, based on the preferred remediation options identified in the ROR, and the timeframes involved.</p> <p>A conceptual site model is also included in the RAP.</p> <p>The RAP is updated as the project progresses and re-submitted to the Ministry before the next phase begins. This information is used when making decisions regarding funding of the next phase(s).</p>

Phase four – site remediation

Funding is available from the CSRF for phase four projects.

During site remediation, on-site works are undertaken to reduce, remove, isolate and/or encapsulate the contaminants present on the site, so that the risks posed to human health and the environment are reduced to an acceptable level.

Site remediation is usually the most expensive phase. The amount that the CSRF contributes is dependent on the other party's/parties' ability to pay, and the risk posed by the contamination present on the site.

An individual from the RC/UA is the project executive responsible for completing the site remediation in accordance with the RAP. Following site remediation, the RC/UA prepares and submits the final site validation report and any monitoring and management plans.

After a site is remediated it is no longer considered to be contaminated if it meets the appropriate human health and/or environmental standards.

Completing the Contaminated Sites Remediation Fund application form

This section provides question-by-question help for completing the Contaminated Sites Remediation Fund (CSRF) application form for project funding.

Accessing the application form

The application form is only available in Microsoft Word (DOC). It is preferable that you complete this application form electronically and email it to the Ministry for the Environment (the Ministry).

All applications must be made using the application form.

Completing the application form

Complete the application form by fully answering all questions relevant to your council and project. If you have a question about the application form that is not covered in this guide, you can email CSRApplication@mfe.govt.nz or phone 0800 499 700.

Do not answer questions with 'refer to' or 'see attached'. Any question that is answered in this way will be considered incomplete. Do not include requested documents as part of an answer in the body of the application form, but ensure they are attached separately.

Project details

1. What are the details of your project?

Information about the project is used to determine its appropriateness and practicality.

Project name

Provide a short and succinct project name (eg, Tui Mine Remediation Project).

Project phase

Select the project phase(s) that is included in this application.

Purpose

The purpose should be a short and succinct description of what you hope the project will achieve (eg, the investigation of ABC sheep dip on XYZ road in Auckland).

What problem or opportunity is the project trying to address? This will help you determine what the objectives of the project are (next question).

It is expected that even at an early project planning stage, the conceptual purpose that outlines the investigation and potential remedial options will have been developed.

Number of financial years for which funding is sought

How long is the project expected to last? How many financial years of funding are required? The financial year starts on July 1 and ends on June 30.

Total anticipated cost for project phase(s)

The Ministry expects that the costs for the site investigation (phase two) will have been accurately estimated using the following:

- results of the desktop study
- protocols identified in the [Land Management Guideline series](#)
- input from experienced contaminated site practitioners.

It is important for councils to try to calculate the cost for each of the phases as accurately as possible, even though it can be difficult to estimate how much funding will be required for later phases of remediation due to limited information.

The Ministry appreciates that these costs are an estimate, and that following the site investigation and remedial planning, the costs may have significantly increased or decreased. These estimated costs are used by the Ministry to manage the CSRF and provisionally allocate funding in subsequent years for remediation planning and remedial works.

Should costs increase significantly during the project, the Ministry would continue to work with the RC/UA and landowners to ensure the work progresses. Depending on how much funding is available, some changes in the project programme may be required.

It is recommended to build in an appropriate contingency to project costs. This should be identified in your application.

2. What objectives have been set for your project, and how do you intend to achieve them?

Objectives are statements that clearly describe what the project must realistically achieve to succeed. What strategies will be implemented that will enhance or improve the current situation

Make your objectives SMART:

- **Specific** – objectives should specify what they want to achieve
- **Measurable** – you should be able to measure whether you are meeting the objectives or not
- **Achievable** – are the objectives achievable and attainable?
- **Realistic** – can you realistically achieve the objectives with the resources you have?
- **Timely** – when do you want to achieve the set objectives?

For each objective, provide detail in the second column of the table about the types of activity that will be undertaken. Include the anticipated timeframe to achieve those targets.

The actual methods that will be used to remediate the site will be influenced by several factors, including the results of the phase two site investigation, and may differ from those originally proposed.

Describe how you will measure the effectiveness of the objectives using key performance indicators (KPIs) in the third column of the table.

The following table provides acceptable examples of project objectives, the associated activities and the related KPIs:

Objective	Activity	KPI
Reduce discharges to groundwater so that it meets New Zealand Drinking Water Standards (NZDWS) 100m down the gradient of the site by June 20xx	Undertake groundwater monitoring events to determine effects of seasonal fluctuations	Quality of groundwater meets standards 100m down the gradient of the site
Develop sustainable Remediation Action Plan (RAP) plan by March 20xx	Undertake an Assessment of Remedial Options (ARO) and prepare Remediation Options Report (ROR)	A practical cost-effective RAP is developed (which minimises the use of both energy and natural resources)
Contain the contaminants of a site within twelve months of the funding deed being signed	Use <i>in-situ</i> stabilisation techniques to stabilise the soil	Site validation test results show that 100 per cent of the contaminants are stable and secure
Fully characterise the contamination on a sawmill site by July 20xx	<ul style="list-style-type: none"> • Develop concept and sampling plan in accordance with Ministry guidelines • Undertake detailed site investigation in accordance with sampling plan 	Data quality objectives for the site investigation are met

Cost benefit analysis

A cost benefit analysis must be submitted with the application form as supporting documentation, if this has been undertaken by your organisation.

3. What are the expected benefits of the project?

Make the benefits SMART where possible:

- **Specific** – benefits should be specific
- **Measurable** – you should be able to measure the benefits
- **Achievable** – are the benefits achievable and attainable?
- **Realistic** – can you realistically achieve the benefits with the resources you have?
- **Timely** – when do you want to achieve the benefits?

A project may have different benefits:

Type of benefit	Description examples
Economic	<ul style="list-style-type: none"> • future monetary benefits from the remediation of the site are achieved within five years • there is immediate potential for other organisations to implement or build on the solution • improved infrastructure will reduce transport costs and congestion within one month • 50 per cent reduction of compliance costs within the six month consent • reduced risk to Treaty negotiations between Crown and iwi • undertaking new remediation activities within six months as a result of a successful feasibility study.
Social	<ul style="list-style-type: none"> • improved human health, and health and safety of workers • immediate enhanced public safety at site following site remediation • improved water quality by March 2020, with increased consumer confidence in quality of drinking water • compliance with environment, nuisance or health-related laws by December 2020 • improved aesthetics and amenities • enhanced cultural awareness/kaitiakitanga (active protection and guardianship of the environment) • increased participation/ buy-in (from the community, business and iwi, etc) before on-site works begin • enhanced communities relationships from working collaboratively.
Environmental	<ul style="list-style-type: none"> • project could act as a catalyst for other site remediation projects or activities • observable reduction of harm to the environment (including natural resources, soil and water quality) by July 2020 • improved environmental values • enhancement of natural resources.
Cultural	<ul style="list-style-type: none"> • better access is provided to a range of groups once remedial works have been completed • current barriers to environmental awareness and participation removed.

Type of benefit	Description examples
Other	<ul style="list-style-type: none"> • expansion of an existing scheme to include new site remediation initiatives by March 2014 • joint venture/enhanced relationship with key partners (eg, local council, iwi or industry) • land is managed in compliance with legislation • improved access to site • cross-sector collaboration • spin-off project or business opportunities.

4. What is the scope of the project?

The scope of a project defines the boundaries of the project and the project team's responsibilities.

Consider what:

- sorts of activities stakeholders might expect from this project?
- the quality requirements are for the products that will be delivered, and what the impact is (on the scope)?

It is helpful to think of scope in terms of what will be done, and what will not be done:

In scope examples	Out of scope examples
Undertake detailed site investigation	provide funding for resource consent application fees and processing costs
Undertake site remediation	rebuild structure/building on site
Prepare and distribute quarterly newsletter to stakeholders	undertake iwi or Treaty claims
Construct encapsulation cell	undertake long-term maintenance and monitoring of encapsulation cell
Undertake a cultural impact assessment	manage the health and safety of people viewing the site (outside the work area)

5. Are there any links to, or dependencies on, other projects?

People may be working on related projects or programmes that may impact the project or be impacted by it.

Consider the projects, programmes and day-to-day activities that are underway at the RC/UA or that involve the landowner/occupier. What does this project link to? What is it dependent on? Who is responsible for managing this link?

It is useful to think about dependencies in terms of:

- upstream – things that the project is waiting for
- downstream – things that other parties need from the project so they can progress their work.

The following table provides some examples:

Link or dependency	How this will be managed	Person responsible for monitoring
Availability of contractor who is currently working on another project	terms and conditions agreed, and contract signed	
Removal of contaminated soil is dependent on receiving analytical results from laboratory	contract signed up with laboratory stating that all samples are turned around within five days, and that the results are emailed to the project manager as soon as they are available	project manager

6. Project schedule

The project schedule provides information about the project, including:

- start and end dates of the project
- timing of each milestone
- required dates for approval
- date for delivery of final product/deliverable.

Attach a high-level project schedule for the phase(s) covered in this project with your application. It is recommended you use a tool such as a Gantt chart (suitable for larger projects) or an activity plan (suitable for smaller and medium-sized projects) to create your project schedule. Include as much detail as is reasonable at this time.

A detailed project schedule is prepared once funding has been approved. A new project schedule is developed for each new stage of the project.

7. How will you evaluate your project?

Evaluating your project is a valuable and integral part of the project. Planning and thinking about evaluation starts at the project initiation stage, not near the end of the project.

Examples

- The project and all milestones are completed on time and within budget.
- The site validation report confirms that the site is fit for purpose.
- Site contamination is suitably characterised, enabling the development of a robust remedial action plan.

Evaluation helps to:

- communicate a shared understanding of the outcomes you intend to achieve
- promote accountability and transparency (ie, you can tell the story of how efficient or valuable your project has been, to those funding or otherwise supporting your project)
- produce tangible proof of how well the project worked (whether as intended or not)
- build stakeholder confidence in your project and project delivery skills
- identify learning and areas for improvement.

Describe how you will measure the effectiveness of your project. How long will you monitor the results after the activities have been completed?

The Ministry website contains useful data and background information. Refer to the following for other sources of information:

- Statistics NZ (www.stats.govt.nz)
- www.surveymonkey.com (free/cheap website through which you can design and roll out an online survey. It includes common questions and survey templates).

See the Appendix on page 47 for further information about evaluation.

Site information

8. What are the details of the site?

Provide the site address, legal description(s) of the site, description of site location and setting, current use of the site and date when the landowner/occupier purchased the site.

Site address

A full address must be provided.

Legal description(s) of the site

This must be a current descriptor of the site (provided in full).

Description of site location and setting

Provide a detailed description, including the uses of neighbouring land.

Current use of site

What is the site currently used for?

When did the current landowner/occupier purchase the site?

Provide the correct dates.

9. Is the site in an area that has cultural significance or natural, ecological, scientific, or recreational value?

These are some examples of sites with cultural significance or natural, ecological, scientific, or recreational value:

- marae site
- wetland protected under the Ramsar Convention
- site adjacent to a Department of Conservation reserve
- site with hydrothermal activity
- archaeological or cultural interest in the site.

10. What is the contamination history of the site?

See the following table for examples:

Contamination history	Examples
Which contaminants are present/suspected to be present?	<ul style="list-style-type: none">heavy metalsacid rock drainage
When did contamination of the site occur?	March 1972 – April 1974
Potential risk to human health	<ul style="list-style-type: none">contaminated drinking water (water abstraction from stream adjacent to site)water used for recreational swimming (direct contact)site used as a play area by local children (direct contact)
Potential risk to environment	water quality and ecology of stream degraded by discharge from contaminated site
What activities caused the contamination?	HAIL activities (eg, mining, storage of chemicals)
Are these activities ongoing?	no, site closed in 1976
Has any action been undertaken to investigate or remediate the site?	<ul style="list-style-type: none">phase one desktop study completed in 2005phase two detailed site investigation undertaken in 2009

Phase one desktop study

A copy of the phase one desktop study must be attached to an application for phase two site investigation as supporting documentation. Note that the CSRF does not provide funding for the phase one desktop study.

11. What is the proposed use of the site following remediation?

This is relevant if the use of the land will change (eg, from being used as industrial land to becoming residential land).

12. Will all (or part) of the site be sold following remediation?

If yes, it is the RC/UA's responsibility to ensure that landowners/occupiers are aware of the betterment clauses in the funding deed. Note that this information may not be known at the time of application.

Site risk screening

As part of phase one, the RC/UA undertakes a risk screening assessment in accordance with [the Risk Screening System of the Land Management Guidelines \(No. 3\)](#).

The risk screening report is used to complete this section, which enables the Ministry to undertake (or commission) an independent risk screening assessment of the site. This is undertaken in addition to the RC/UA's risk screening.

Specific information that is sourced from local knowledge must also be used to complete this section, as the phase one desktop study and risk screening report may have been produced by a consultant who did not know/understand the intricacies of the site and its interaction with its neighbouring environment.

Ensure that the risk screening report is attached to this application as supporting documentation.

13. Have Hazardous Activity and Industry List (HAIL) activities been undertaken on the site?

All activities that may have been a potential source of contamination should be identified. This information is used to determine who the liable parties are, if applicable.

Provide the start and end dates of all activities.

14. What are the site's hazards, receptor and pathway components?

Refer to the [Risk Screening System of the Land Management Guidelines \(No. 3\)](#) for a list of the hazard and pathway components. The guidelines provide all the necessary information required to undertake a risk screening assessment.

Partnerships

15. Has appropriate due diligence been completed on the current landowner/occupier?

Correct due diligence procedures must be shown to have been undertaken on the landowner/partners before the application is submitted. Evidence of due diligence procedures should be attached to the application form.

16. Is the current landowner/occupier willing to assist financially with the remediation?

The landowner/occupier's ability to contribute is one of the assessment criteria for funding approval. Their contribution also signifies their willingness to cooperate in the remediation of the site and should reflect their ability to fund the investigation or remedial works.

17. Is the current landowner/occupier willing to support the remediation in other ways?

Is the landowner/occupier prepared to contribute to the project in other ways (eg, in-kind contribution)? If not, or if they are unable to, provide the reasons why.

18. Which individuals/partner organisations will be involved in the project?

Provide the names and contact details of all individuals/partner organisations involved in the project and include details of their involvement.

Collaboration and partnerships may add expertise, additional resources or other attributes that strengthen the proposal. An active working relationship with other organisations involves regular communication, including meetings, and working together towards a common goal. The degree of partnership and cross-sectoral collaboration is considered when assessing the strategic value of applications.

Partners generally share the decision-making regarding a project and must contribute resources to the project in terms of expertise, equipment, or money. There may be a formal agreement (eg, contract) between the parties, who work together for a common goal and share the risks and benefits.

Partner organisations include local government (eg, city and district councils). They usually have experienced staff, governance structures, project management and financial processes in place, all of which assist in effectively delivering the project.

19. Who are the project's stakeholders?

Preference is given to projects that operate collaboratively.

A stakeholder has a direct interest in the project, and may provide support and help. Examples of stakeholders include project volunteers, project committee or board members, staff, or other organisations or community groups that benefit from the project.

Stakeholders may also:

- be actual or potential funders
- be an advocate of a specific value(s) that is being achieved through the project
- have management responsibilities for the site
- have an affiliation with the site due to their stewardship role.

There may be iwi or Māori stakeholders involved in the project. Te Puni Kōkiri publishes a [directory of Māori organisations](#) on their website.

Consider what the project needs from stakeholders. Do they require a tailored approach?

List the stakeholders that will be included and give details of their involvement and explain how your project will support and strengthen the partnerships between them.

See the example below:

Stakeholders	Details
City councillors	<ul style="list-style-type: none">• keep them informed about progress and outcomes• provide information to support their dealings with other key stakeholders, media and lobbyists

Milestones and funding

The true cost of site remediation is difficult to predict and depends on a number of factors, including weather, site uncertainties, resource consent conditions, and operational issues.

Funding can only be provided for the years in which the site assessments, remediation planning and site remediation are undertaken.

Read the following information thoroughly before completing Section 7 of the application form.

The CSRF Team is available to answer any queries regarding funding and can be contacted by email CSRFapplication@mfe.govt.nz or by phoning 0800 499 700.

20. What are the milestones for phase two of your project (site investigation)?

A milestone is a measurable event that indicates a significant development or a key achievement at a specific stage in the project. If a milestone is met, the project can move to the next step; if it is not met, corrective action may be required.

Funding is paid in instalments that are tied to the achievement of each milestone, and must only be used for proper purposes and within the scope of the project.

The purpose of this question is for the panel to get a clear understanding about your project milestones for phase two. Only complete this question if phase two is included in this application.

Milestone description

Clearly outline milestones for phase two of the project, including a brief description of each. It is useful to identify and describe the key activities that are required in order to deliver the final product. Consider the order in which activities need to be undertaken.

Some examples of milestone descriptions for phase two include:

- complete a site-wide sampling and analysis programme and risk characterisation that focuses on (but is not limited to) the historic issues and other contamination that is likely to be present on site
- complete a report on the assessment and interpretation of sample results in compliance with the Ministry's contaminated land guidelines
- undertake a peer review by an independent technical expert on the draft investigation report
- finalise the investigation report
- develop a conceptual site model.

Estimated timeframe

Each milestone must have an estimated timeframe. This is the approximate length of time required to fully complete the milestone before the milestone deliverables and claim form can be submitted to the Ministry for payment.

There are often dependencies between milestones, which mean that one milestone cannot be started until the previous one is finished.

Total estimated cash cost (A)

Do the project costs form a separate budget or are they part of the business-as-usual budgets?

Work out the total estimated **cash** cost of each milestone as accurately as possible. Amounts should be exclusive of GST. This information will be used by the panel.

If your organisation is involved in other activities or projects in addition to the CSRF project, it may be difficult to allocate some costs (eg, administration, electricity). In these cases, you may claim a proportion of costs equivalent to the time your organisation will devote to the CSRF project. It is important that you are able to explain this breakdown at the project planning stage (after the project has been approved and before it starts).

What funding covers

The CSRF will pay for actual and reasonable costs relating to the following:

- personnel
- administration
- consultants and contractors
- equipment and plant hire
- analytical testing
- promotion and dissemination of information
- financial, legal and information technology (IT) expenses
- travel and accommodation
- other miscellaneous costs.

What funding does not cover

The following areas are not covered by funding:

Area	What funding does not cover
Environment	Education projects
Research	<ul style="list-style-type: none"> • Academic costs or research aimed at supporting the attainment of a qualification • Monitoring and/or data collection projects which have not been identified as part of the project.
Other funding sources, including government agencies	<ul style="list-style-type: none"> • Projects that are more appropriately funded from other sources, including other government agencies. This includes project outputs to be used specifically for the development of central government policy • Statutory duties of local government (activities that councils are required to undertake by law, eg, local government planning, resource consent approval or monitoring functions).
Specifications in funding deed	Funding may not be used for investigations or remediation on land that falls outside of the area identified in the funding deed.
Retrospective costs	Retrospective or backdated costs (work undertaken or costs incurred before a funding deed is signed).
Crown land	Funding may not be used for investigations or remediation of contaminated land (or identified sites of concern) on Crown land where the Crown has accepted responsibility for the contamination.
Capital expenditure	Funding cannot be used for capital expenditure that is required to undertake a project.
Normal operating costs and ongoing maintenance	<p>Normal operating costs for undertaking an organisation's day-to-day activities</p> <p>Funding cannot be used for ongoing maintenance and/or monitoring once remediation is complete and may not continue into the years following completion of the project.</p> <p>Funding cannot be used for a council's resource consent processing costs.</p>
Other	<ul style="list-style-type: none"> • Attendance at conferences • Alcohol, entertainment, gifts or social expenses • Costs associated with supporting a political party or movement, running a political campaign, or lobbying against the Government

Use the following cost category table to help you estimate your costs:

Cost category	Includes:	Example
Personnel	<ul style="list-style-type: none"> wages/salaries of all the people directly involved in the project staff recruitment and training. 	You will need to employ a part-time coordinator to work 20 hours per week, at a rate of \$25 per hour over 12 months. The estimated cost would be \$26,000.
Administration	<p>administration expenses that are directly related to the project.</p> <p>Notes:</p> <ul style="list-style-type: none"> The cheapest option should be used for making phone calls. Personal calls are not covered by funding. Phone calls that are charged to hotel bills are often extremely expensive and should be avoided, where possible. 	Cost of stationery, insurance, postage, phone calls and couriers.
Consultants and contractors	third parties you have sub-contracted to work on the project (eg, environmental consultancies, Crown research institutes).	A consultant may quote \$129 per hour (exclusive of GST) for working 10 hours per week for 10 weeks. The estimated cost would be \$12,900.
Equipment and plant hire	rental and leasing of equipment for the project.	You may need to hire or lease a vehicle or trailer.
Analytical testing	<ul style="list-style-type: none"> analysis of soil and water soil density testing. 	You will need to undertake a heavy metal analysis costing \$80 per sample.
Promotion and dissemination of information	expenses that relate to promoting the project (eg, the production of brochures, advertising costs, seminars).	You may need to publish a brochure. The costs of designing, printing, and distributing need to be researched to calculate the estimated cost.
Financial, legal and IT expenses	<ul style="list-style-type: none"> financial or legal expenses incurred solely in relation to the project accounting services IT support. 	You may need the services of a lawyer or accountant.

Cost category	Includes:	Example
Travel and accommodation	<p>specific travel and accommodation costs related to the project:</p> <ul style="list-style-type: none"> • mileage (this may be charged at 74 cents per km for a private vehicle) • taxis/parking (costs may be claimed on receipt, for the purpose of the CSRF project) • domestic air travel • hotel accommodation (up to \$140 per night for accommodation in New Zealand, exclusive of GST) • meals (actual and reasonable expenses on receipt, for meals and other incidental expenses while on out-of-town business for the purpose of the CSRF project may be claimed). <p>Notes:</p> <ul style="list-style-type: none"> • The Ministry encourages the purchase of non-flexible fares, as there is often little or no difference between buying two non-flexible fares and paying for a fully-flexible fare. This makes the risk of cancellation worthwhile, however is not encouraged. • The Ministry encourages the purchase of the cheapest fares unless there are valid reasons for not doing so. • International air travel is not covered by funding. • Where alternatives to travel are available, these should be used (eg, video conferencing, teleconferencing). • Mini bar charges are a personal expense and cannot be charged back to the Ministry as part of the accommodation bill. • Where mileage is undertaken in a private vehicle, the person travelling is responsible for insurance coverage. The Ministry will not be liable for any costs incurred in the event of an accident under these circumstances. 	<ul style="list-style-type: none"> • Four flights from Wellington to Auckland at \$500 return (exclusive of GST). The estimated cost would be \$2,000. • A return road trip from Auckland to Hamilton, at a total distance of 252km with mileage at 74 cents per kilometre. The estimated cost would be \$186.48.
Other	anything else that is not covered above (eg, reporting and compliance tasks relating to the project).	

21. What are the milestones for phase three of your project (remediation planning)?

Only complete this question if phase three is included in this application.

Some examples of milestone descriptions for phase three include:

- engage a contractor or engineer
- establish a steering group and agree to (and sign) the terms of reference
- complete a communications plan.

If your application for multi-phase funding is successful, then funding for subsequent years will be conditional upon your project meeting the deliverables and other agreed requirements for the previous phase(s). You will also need to submit an updated project plan and budget at the completion of the phase where appropriate, showing the new milestones, tasks and deliverables for the upcoming funding year.

Milestone description

Clearly outline up to a maximum of six high-level milestones for the next phase of the project, including the tasks that make up each milestone. Refer to the information provided in question 18 of this guide.

Total estimated cash cost

Provide the total estimated **cash** cost, exclusive of GST. Refer to the information provided in question 18 of this guide.

22. What are the milestones for phase four of your project (site remediation)?

Only complete this question if phase four is included in this application.

Some examples of milestone descriptions for phase four include:

- install a monitoring network
- validate the site
- construct a concrete bulkhead
- install water level measuring equipment
- treat and re-contour waste rock.

Milestone description

Clearly outline up to a maximum of six high-level milestones for the next phase of the project, including the tasks that make up each milestone. Refer to the information provided in question 18 of this guide.

Total estimated cash cost

Provide the total estimated **cash** cost, exclusive of GST. Refer to the information provided in question 18 of this guide.

23. Have you secured funding from other external sources (including partners)?

The CSRF will only fund up to 50 per cent of your total project cost at the Ministry's discretion, and it is preferable that you secure the balance.

This does not include the amount your organisation is contributing to the project.

List all other sources of funding (excluding CSRF but including partners) for the project. For each source, identify the amount, and the status of the funding offer, for example:

- pending application, and the expected decision date
- confirmed offer (approved) and the expected funding date.

If you are applying for multi-year funding (up to three years), provide the estimated amount based on information that is currently known.

Provide evidence of funding, secured or pending, from external sources, ie, a letter or email confirming their funding contribution.

If you have not secured external funding, have you attempted to do so?

All amounts should be cash only and exclusive of GST.

24. Provide detailed information about the estimated in-kind contributions your project will receive

An in-kind contribution is a cash-equivalent form of support that is donated and assists with the project costs. The CSRF recognises the value of donated resources and/or the time of volunteers and professionals who assist with the delivery of a project.

The Panel assesses how much in-kind support the project has.

An in-kind contribution does not include time spent negotiating commercial arrangements unless the goods or services being negotiated are being provided free of charge. The in-kind contribution may be necessary for the completion of the project; however, no cash is exchanged for the service or goods.

In your application you are required to provide information about the in-kind contributions for phases included in this application. Provide the estimated amounts based on a realistic amount or past experience.

In-kind contributions do not count towards the total estimated cash costs of the project.

Professional services and goods

The professional who provides the service must act in role (eg, if a RC/UA staff member co-ordinates the project, the time is recorded as an in-kind contribution).

All actual costs, both direct and indirect, associated with professional services or goods used as part of the project have to be reasonable and measured in accrual accounting terms (for example, salaries, materials, corporate overheads). These actual costs must exclude any mark up or profit margins by councils managing projects and exclude any costs based on theoretical or perceived market rates.

Use/donation of equipment

This includes free use or donation of equipment such as phones, internet, and machinery.

Facilities provided

This includes free use of a venue, office space, workshops, other room or hall hire.

In-kind costs associated with home offices, mileage, etc are based on the Inland Revenue Department small business rates. See www.ird.govt.nz for further information.

Community volunteers/staff time

The value of general work undertaken by community volunteers is recognised (eg, communal assistance with a restoration planting scheme). Time is recorded in this category for work undertaken by someone who is not a professional.

Ensure that a register is provided at activities, for all volunteers to complete. The following information is required:

- name
- date
- work undertaken
- hours completed.

The following table is an example of a completed in-kind contribution summary table:

Example of in-kind contributions summary		
	Description examples	Examples of total estimated in-kind contribution
Professional services and goods <i>Calculate professional services using the actual hourly rate</i> <i>This includes council staff time</i>	A lawyer draws up a contract for a sub-contractor you intend to engage and provides three hours free of charge. This can be claimed as an in-kind contribution.	3 hours x \$140 per hour (actual hourly rate) = \$420 estimated in-kind contribution
Use/donation of equipment <i>Calculate equipment and other charges using the actual hourly rate</i>	A local hire company provides your organisation with machinery free of charge. They normally charge \$300 per day for the rental. You use the machinery five times over a period of 12 months.	Machinery borrowed five times x \$300 per day (actual rental charge) = \$1,500 estimated in-kind contribution
Facilities provided	The RC/UA makes space available in one of their depots for the storage of equipment.	Six months x \$50 per month (lowest possible market rate) = \$300 estimated in-kind contribution
Community volunteers <i>Calculate at a rate of \$30 per hour</i> Staff time <i>Actual and reasonable costs</i>	A restoration planting scheme is undertaken.	Twenty volunteers over two weekends at eight hours per day (20 x 32 hours x \$30 per hour = \$19,200 estimated in-kind contribution

25. How much are you requesting from the CSRF, and how much have you obtained from other sources?

You must complete questions 18 – 22 before completing this question, as those answers automatically populate the fields for this question in the application form. The level of funding from other sources is taken into account by the panel, and it is preferable that the CSRF will only fund up to 50 per cent of the total project costs, at the Ministry’s discretion.

Preference will be given to projects that have shared funding and can demonstrate that some of the required funding for the project has been obtained from sources other than the CSRF (ie, a cash contribution from the applicant’s organisation and any other external funding sources).

See the information below when completing the funding summary table:

Funding summary	
Estimated cash costs for project (A)	The total cash amount the project will cost you to complete, including contingencies. This is the sum of the estimated project cost for the current phase milestones, and any estimated costs from the subsequent phase milestones. If you are completing the application form electronically, the amount will be automatically calculated for you from your previous answers.
Your cash contribution to the project (B)	The amount your council is contributing to the project (if any).
Other external cash funding sources, including partners (C)	The total amount of funding that other sources (including partners, but excluding CSRF) will contribute to your project. Only include funding that you have applied for, and is either approved or still pending (ie, not declined). If you are completing the application form electronically, the amount will be automatically calculated for you from your previous answers.
Funding sought from CSRF (D)	The total amount you are seeking from the CSRF. The CSRF can only fund up to 50 per cent of your estimated project cost and you need to secure the balance.
CSRF share of costs (E)	The percentage of the estimated project cost that you are seeking from the CSRF. The following ratio is used: $\frac{\text{Funding sought from the CSRF (D)} \times 100}{\text{Estimated project cost (A)}}$ If you are completing the application form electronically, the amount is calculated automatically using your previous answers.
In-kind contributions (F)	Totals for any in-kind contributions you have secured. If you are completing the application form electronically, the amount will be automatically calculated for you from your previous answers.
Estimated total costs for project (G)	The estimated total costs for the project are calculated by adding the estimated cash costs and in-kind contributions. If you are completing the application form electronically, the amount will be automatically calculated for you from your previous answers.
Estimated overall costs for project (H)	The estimated overall costs is the sum of all project phases included in this application. If you are completing the application form electronically, the amount will be automatically calculated for you from your previous answers.

Project management

26. What project governance is planned for the project?

Project governance is about the direction, leadership, accountability and responsibilities for strategic decision-making across the project. It may also include processes for auditing, monitoring and reviewing the project. It is critical to the success of a project.

It is expected that clear governance structures with clear roles and responsibilities will be established. Include the roles, groups and/or processes your project will have in place to ensure decisions are made consistently and robustly, that money is spent responsibly, and that change and risk are managed effectively.

Examples

- Project Board (including responsibilities, schedule and members)
- governance arrangements with sub-contractors or partners
- processes for tendering
- processes for monitoring and auditing the project.

The Ministry may request further detail on the project governance as part of a detailed project plan, after funding is confirmed and before the funding deed is signed.

27. What are the proposed roles and responsibilities within the structure of your project?

The most effective project planning occurs when the right people are involved from an early stage. This helps mitigate the risk of problems later on.

Role

Consider who will be required to undertake work on the project. Does the project have the right expertise to complete the work to the required standard? If there is more than one work stream, how many people are required in each work stream? The different roles within the project should be involved in planning for their area of work.

Consider also if people with specialist expertise or external people from other agencies are required.

Regional councils and unitary authorities must ensure that the roles that undertake the project work have relevant and appropriate project management experience and capability. This is because government funding must be managed properly and must meet the needs of the stakeholders involved in the project.

At a minimum, a small project should have a project executive and a project manager. A large project should have a Project Board and, if required, Governance Group in place.

Additional roles may be needed depending on the complexity of the project and the amount of diversity required. The project's structure could also change as the planning proceeds, or later in the project.

Name of person, phone number and email

Record the following for each person undertaking a role in the project:

- name
- phone number
- email address.

Sometimes the RC/UA will not have appointed someone to undertake a certain role regarding project work at the time that an application is submitted to the Ministry. In this situation, omit the name and contact details columns of the table; however, the skills and experience required should be recorded in the **Responsibilities** column. The Ministry uses this information to assess the likely success of the project.

Once the roles have been appointed, ensure that the names and contact details of the personnel are submitted to the Ministry.

Responsibilities

The responsibilities of the roles involved in the project must be clearly defined.

At a minimum, it is expected that the following roles are involved in a project:

Role	Responsibilities include...
Project Manager	<ul style="list-style-type: none"> managing, directing and coordinating project tasks against the detailed schedule, and is likely to be the person whom we liaise with during the project planning and monitoring the project authorising work packages.
Project Executive	<ul style="list-style-type: none"> assuming ultimate responsibility for the delivery of business benefits and the success of the project.

The following table provides information about other possible roles involved in a project:

Role	Responsibilities include...
Governance Group	<ul style="list-style-type: none"> overall guidance and direction to the project managing high level risks Approving recommendations from the Project Board regarding decisions that will have a material impact on the project
Governance owner	<ul style="list-style-type: none"> approving the investment of resources for the project (eg, senior manager or executive at the RC/UA).
Project Board	<ul style="list-style-type: none"> Providing advice on key decisions and issues to the Project Executive or Governance Group Holding the Project Executive to account to take responsibility for the project assurance within their area of responsibility
Project team members	<ul style="list-style-type: none"> undertaking activities as directed by the Project Manager Identifying and logging issues to ensure that prompt action is taken.
Project Administrator	providing administrative support to the project.
Other roles	undertaking other project-related tasks. Note: This includes other roles involved in the project (eg, independent quality assurance).

Record the following information:

- what type of role this is (full-time or part-time).
- what the role needs to undertake during the project.

Time commitment

Provide an estimate of how much time the different roles will spend on the project each week. Note that if the total project cost is more than \$1 million, the project manager may be required to be a full time equivalent.

28. What is your risk management plan?

A risk is something that may affect the completion and success of your project, but that has not happened yet. An issue is something that has happened and is impacting the project and is managed in the same way as risks. Prompt identification of risks and issues is key to the successful delivery of a project.

Potential risk

These are some examples of potential risks:

- Covid-19 Pandemic impact
- delayed procurement
- unpredictable weather events
- unexpected contamination discovery
- lack of landowner cooperation
- time and budget overspend
- stakeholders changing requirements after project has started
- loss of public support through poor communication
- high media attention and community expectations

Strategy to mitigate

Many aspects of setting up a project (eg, project timeframes and schedules and communication plans) are mitigation measures to reduce common project risks.

The following are examples of potential mitigation strategies:

- accelerate the tender process and procure a contractor(s) in a timely manner.
- maintain a high level of communication with the community
- project manager monitors completion of tasks against project schedule

29. Does the organisation managing the project have a health and safety policy or plan?

Organisations working together for the health and safety of everyone is a fundamental part of the Health and Safety at Work Act's design. Persons in Control of a Business or Undertaking (PCBU) have the responsibility to ensure the safety not just of their own employees but also other people whose health or safety may be put at risk due to the operations or activities of the PCBU.

A project will only be approved if health and safety policies and plans either exist or are developed for the project, if required.

If the organisations involved have health and safety policies applicable to the project they will need to provide these as part of the application.

30. Are the project’s activities covered by the organisations existing health and safety policy or plan?

The organisation must be able to show that the health and safety policy they have covers the project activities. If it does not, then they will need to carefully consider whether a project-specific health and safety plan will need to be developed.

31. Does a project-specific health and safety plan need to developed?

A health and safety plan that is appropriate to the level of risk their activities present **is a requirement under the funding deed for CSRF projects, which will not be signed until this requirement is satisfied.**

Not all phases may require the development of a health and safety plan. For example, if a consultant is developing a remedial option report or remedial action plan as part of phase 3 remedial planning, they are likely to have their own health and safety policy that covers their own personnel developing reports on their own premises. This will likely be detailed in the contract between the organisation managing the project and the consultant.

32. Who will be responsible for implementing and monitoring the ongoing performance of the health and safety plan and/or policy?

Provide details on who will be responsible for ensuring the health and safety plan is implemented and monitored appropriately throughout the project.

33. Will the health and safety plan or policy be audited and/or reviewed?

Provide details on who will review and/or audit the plan or policy as part of the project. Are they suitably experienced and/or qualified to undertake a review/audit of the plan or policy?

34. Identify the most significant health and safety risks associated with the project

Provide details about the health and safety risks associated with the project, showing also that appropriate mitigation planning has been considered as part of the application process. Below is an example of a significant health and safety risk relating to the disturbance of contaminated soil:

Risk	Impact	Management
Dust exposure from the removal and movement of contaminated sediments to landfill.	Contractors working on removing and moving the contaminated material could inhale the dust. Public could be exposed depending on route the materials are taken to landfill.	Ensure contractors are made aware of the dust risk, ensure they all wear appropriate safety gear and dust masks. Wet sediment (if appropriate) to ensure minimal dust exposure and ensure sediment is contained appropriately in trucks.

35. What is your reporting plan?

Apart from reporting to the Ministry, regular and accurate reporting is required to all relevant stakeholders and is usually undertaken at different levels. This ensures that there are no surprises as the project progresses.

The table below provides examples:

Target audience	Type of report	Purpose	Timing
Relevant stakeholders	progress reports	show that there is no slippage in the project milestones and that the project budget is not exceeded	weekly or monthly
Governance group	financial report	ensure that the project is operating within the budget	monthly
Governance group	status reports	provide progress against the project plan (time, cost, quality, risks, issues, and changes)	quarterly

Other types of reports include:

- risk
- issues
- change requests
- other specific reports as directed by the governance group.

36. What are your proposed delivery confidence assessment and quality assurance processes?

The project sponsor provides an assurance statement about their view of the project's ability to deliver the benefits and outcomes against the agreed objectives. Consideration is given to whether the project will deliver on time, cost, scope, and quality.

The project manager is responsible for ensuring that quality is considered in terms of project management and project deliverables.

It is expected that a separate quality plan will be developed before the funding deed is signed on large projects.

The table below provides some specific quality assurance tasks that could be undertaken:

Tasks
<ul style="list-style-type: none">• ensure that the relevant inspections and tests are undertaken as required• maintain a record of delivery and quality issues• manage the project reporting• arrange for peer reviews to be undertaken as required.

Additional information

37. Is there anything else we need to consider about your application?

Provide any additional information your council considers important but has not been covered in previous sections.

Include:

- any known conflicts of interest (eg, Ministry staff, or the Crown)
- any other applications for funding from other sources
- assumptions which have influenced the approach to the project.

An assumption may have been identified as a constraint. Consider assumptions that relate to:

- resource requirements and availability
- finances
- technology
- use of external resources.

The following table provides examples of assumptions:

Examples

- required contractors will be available at the start of the project
- consents will be granted
- funding will be available for this phase
- project team will be sourced from internal staff on a part-time basis only
- consents for the encapsulation cell will be non-notified
- project costs will not change from those estimated
- there will not be a major incident, accident or act of God which will result in delays and increased costs
- all phase two tasks are completed before the start of phase three.

38. Are there any documents that the Ministry needs to read in conjunction with your application?

List the important documents that we need to read in conjunction with your application.

The following table provides some examples:

Examples
<ul style="list-style-type: none">• business case• project brief• stakeholder management plan• quality plan• Cabinet papers• technical or background papers.

Declaration

A person with the organisation's signing authority must complete the declaration (eg, the Chief Executive Officer or equivalent delegated authority). This person may be different to the primary contact person for the application.

Contact the CSRF Team if you have any queries regarding the standard terms and conditions of the funding deed.

If completing the application form electronically, the responsible person can type their name in the **Signature** field to complete the form electronically.

What happens next?

Check your application before submitting it to the Ministry for the Environment (the Ministry).

Completeness

Ensure your application is complete. You **must**:

- complete all sections of the application form that apply to your project
- sign and date the declaration
- attach all requested supporting documentation.

If your application is incomplete, it will not be eligible.

Only attach copies of documents rather than the originals, as we do not return documents.

Lodging the application

Once you have completed the application, send it by email to CSRApplication@mfe.govt.nz with 'CSR application' in the subject line. The Ministry's mail server does not receive emails (with attachments) that exceed 10 megabytes in size, so you may need to send two or more emails.

Alternatively, post the application to:

Contaminated Sites Remediation Team
Ministry for the Environment
PO Box 10362
Wellington 6143

Do not bind your application if you are submitting it in hardcopy format.

Late or incomplete applications

Applications must be lodged by the **last working day of March or September**, depending on the funding round.

Refer to the **Key dates** section on page 9 for more information on timeframes.

An application will not be considered if:

- it is received after the closing time on the closing date (exceptions for emergency and priority funding)
- it does not meet the eligibility criteria
- the designated application form is not used
- the application form is not signed
- the required supporting documentation has not been supplied within the set timeframe.

If the application is incomplete following the eligibility check, the Ministry will approach the primary contact person to request the missing information, and they will have two working days to provide the missing information, provided the funding round has not closed. The application will be rejected if the requested information is not provided, or if the funding round has closed.

After you have sent in the application

The Ministry will acknowledge your application, and check that it is complete and meets the eligibility criteria.

If your application is approved, you will be allocated a contract manager who will prepare the funding deed for the project.

The Ministry monitors and assesses each project against the stated performance measures and conditions within their funding deed. Agreed payments are made once milestones are met and deliverables are completed.

Payment requests should include:

- information about changes to the remediation action plan (if required)
- completed milestone payment form (Excel spreadsheet)
- invoice for the amount due.

Retrospective and/or backdated costs are not eligible for reimbursement.

Appendix: Project evaluation information

You may already have relevant measures in place. Here are some other tips on how to evaluate your project:

Tip	Guidance
Evaluation planning	<ul style="list-style-type: none"> • As part of your project initiation process, identify what information you will need to measure your progress and success. Think about what you would tell a stakeholder as tangible proof of your success or think about what a bank manager or investors would want to see in a business plan. What is the logical or causal chain effect of your project? • Consider including the deliverables of how you will communicate your results in your project plan (eg, presentation to stakeholders). The information should be: <ul style="list-style-type: none"> – clear – based on facts and not vague claims – scalable to the size of your project – relevant – available – usable. • Examples of ways to measure your progress and success include: <ul style="list-style-type: none"> – activity measures/efficiency (delivery to timeframes/within budget, customer or staff feedback on quality, levels of satisfaction, or number of complaints) – impact measures you can see immediately, including your KPI's (eg, number of participants, their before/after levels of support for and understanding about community environment activities) – economic contribution in dollars to the local economy, and number of new jobs.
Baseline information sources	<ul style="list-style-type: none"> • It is important that you capture a baseline measure to compare progress against. Make sure the information is available before you commit to a KPI. You will need to find data that is relevant, timely (ideally less than five years old), and that can be updated (either by another source, or by you) by the end of your project. • Include any activities that you will need to undertake to collect the necessary information for your project plan and budget (or analyse and present it). • These are examples of useful information: <ul style="list-style-type: none"> – qualitative data (eg, asking for information in a survey, interviews, or focus groups. This information can be useful to evaluate before-and-after changes in levels of awareness, participation, support, customer satisfaction, and behaviour change) – quantitative data (eg, counting the number of products. This may include costs/profits, forecast proportions, market coverage, waste volumes or composition. This hard data information can be useful to evaluate efficiency, immediate impacts and end/longer term impacts).

Tip	Guidance
Smart key performance indicators (KPIs)	<ul style="list-style-type: none"> • Create SMART KPIs based on the information you can measure your success against. Make sure the KPI's are SMART (specific, measurable, achievable, realistic/relevant, and timely). You need to be specific and describe progress in a measurable way that is based on some realistic evidence, rather than picking a number out of the air. • KPIs are concise statements that answer the 'so what?' question about the reason for the project. They provide the key benefits you expect the project to achieve, and how this will be done. They are measurable and implicitly have a specific scope and timeframe. • As a rule, aim for four to six KPI's: <ul style="list-style-type: none"> – must-have KPI's (project objectives, to measure the project's success) – optional KPI's (additional social, economic, environmental, or value-adding benefits and milestone deliverables like a bundle of project activities or tasks). <p>Note: Individual project activities or deliverables are not KPIs, as they can be measured but are not key measures. Similarly, additional benefits, value-added elements, or the measures themselves are not KPIs.</p>
Evaluation and reporting	<p>Plan how you want to use the results for maximised benefit to you, your stakeholders, and those you want to influence in the future. How do you want to celebrate, inform, or defend your project?</p> <p>Examples:</p> <ul style="list-style-type: none"> • visual presentation to stakeholders using graphs, case studies, photographs • progress report or media release, highlighting the key points • milestone reports and the final evaluation report to the Ministry • internal lessons learned brainstorming session(s).