Ministry for Primary Industries
Manatū Ahu Matua

2017 Primary Industries Earthquake Recovery Fund

Applicant Guidelines

Issue Date: May 2017

Growing and Protecting New Zealand

New Zealand Government

Contents

1. About this document

Purpose of this document

The purpose of this document is to support applicants through the process of applying for funding to the 2017 Primary Industries Earthquake Recovery Fund.

The document will provide information on the aims of the fund and the on the funding criteria. It will also include an overview of the funding process and detailed guidance for making an application.

Intended Audience

This guide is for all parties interested in applying for funding to the 2017 Primary Industries Earthquake Recovery Fund.

Help and Support

If you require further information, please contact MPI using one of the methods below:

Ministry for Primary Industries
Investment Programmes
PO Box 2526
Wellington 6140

Telephone: 0800 00 83 33
Email: **funding@mpi.govt.nz** (use 2017 Primary Industries Earthquake Recovery Fund in the title)

Disclaimer

The information contained in this document is intended to provide general information to the public. The Ministry for Primary Industries has taken all reasonable measures to ensure the quality and accuracy of the information provided. The information does not constitute legal advice. In the event of any uncertainty, the applicant should obtain independent legal advice.

2. Important Dates

The key dates for the 2017 Primary Industries Earthquake Recovery Fund round are as follows:

Step	Description	Date
Fund round opens	Fund round criteria and process are published. Interested parties are able to begin preparation of applications.	10 May 2017
Fund round closes	Fund round closes. All applications and associated budgets must be submitted to the **funding@mpi.govt.nz** mailbox by **3pm.**	**23 June 2017**
Applicants notified of outcomes	All applicants will be notified on whether they have been successful via the portal and email.	By 31 July 2017
Successful projects contracted	All successful applicants have signed contracts in place with MPI.	31 August 2017
Projects commence	All funded projects commence.	1 September 2017

3.   Background

What will the 2017 Primary Industries Earthquake Recovery Fund do?

The 2017 Primary Industries Earthquake Recovery Fund will invest in farmer, grower and forester led projects that deliver economic, environmental and social benefits to primary industry farmers/foresters/growers and land owners affected by the 2016 Kaikōura-Hurunui-Marlborough Earthquakes.

This fund will invest in "Communities of Interest" who will undertake applied research and extension projects that tackle a shared problem or develop a new opportunity. These projects are to be led by rural land owners, managers, sector or council bodies with the support of industry organisations, agribusinesses, researchers and consultants.

What will the Primary Industries Earthquake Recovery Fund providing funding for?

These projects will contribute to the economic, social and environmental viability of farmers, growers, foresters and their wider rural communities.

Projects can include:	Activities and expenditure can include:
Applied research and development	Applied research activities
Demonstration projects	Demonstration and extension activities and resources
Information, knowledge and technology transfer, extension	Project management
Identifying barriers to, and options for, improved land use and management	Data collection
Improving decision support	Data analysis
Mitigation, adaptation and business opportunities around climate change	Website development
Sustainable land management	Report writing
Geotechnical work	Literature reviews
Catchment studies	Interviews
Field trials	Gaps analysis
Scoping projects	Pilot programmes
	Geotechnical work
	Financial management

What won't be eligible to be funded?

Projects that include:

- projects involving unsustainable land management or environmental practices;

- projects primarily benefiting an individual or single business or farming unit (including the funding of whole farm plans);

- conservation, mining and wild fisheries projects;

- projects from applicants not resident in New Zealand for tax purposes;

- participation in statutory processes, litigation, or resource inventory work;

- projects not directly related to New Zealand's primary industries, e.g. amenity horticulture; and

- fundamental research.

MPI does not fund projects that include the following activities and expenditure:

- long-term ongoing costs of an organisation;
- long-term ongoing costs of a trial or project (including breeding trials and variety trials);
- capital expenditure;
- retrospective costs;
- local or central government fees or charges;
- commercial product trials;
- product commercialisation;
- IP development for private good.

4.   Overview of process

An overview of the funding process is described below in 7 steps.

Step	Title	Description
1	**Check eligibility criteria**	• Applicants check their project is eligible for funding. See Chapter 6 for eligibility criteria, assess your eligibility.
2	**Develop application submission**	• Applicant develops fund application using the fund round application form on the **MPI website**.
3	**Submit application**	• Applicants submit their completed application and associated budget forms to **funding@mpi.govt.nz** by **3pm Friday 23 June 2017**. This is the only way applications will be considered for funding.
4	**Manage assessment**	• Applications are initially assessed by MPI for completeness and eligibility before input sought from subject matter experts. • An external panel assesses all complete and eligible applications against the fund criteria (see Chapter 7) and make funding recommendations to MPI. • Final funding decisions made by MPI.
5	**Receive decision**	• Successful and unsuccessful applicants are notified of the decision.
6	**Sign Contract**	• Projects deliverables and dates are finalised following any panel recommendation. • All contracts must be signed by 31 August 2017. Any offer of funding will lapse if this condition is not met. • A copy of the contract to sign will be forwarded to successful applicants.
7	**Manage project**	• The project is now live. • Project is monitored against contracted milestones. • Payments are made against successful completion of milestones. • All milestone reporting is submitted through the online portal.

5. Eligibility Criteria

Before an application can be considered for funding, it must meet the eligibility criteria. Ineligible applications will not be considered for funding under any circumstance.

The eligibility criteria for the 2017 Primary Industries Earthquake Recovery Fund are as follows:

No	Criteria
1	All projects require a minimum of 20% non-governmental contribution towards the total project expenditure. Successful projects are likely to have a higher proportion of cash and in-kind co funding contributions.
2	Projects should run for no more than 3 years. All projects should run between 01/09/17 – 30/06/20. After this time, it is expected that all project objectives have been achieved.
3	Successful applicants must contract through a legal entity.
4	Applicants can apply for up to $200,000 (GST exclusive) per annum for a maximum of three years. The maximum funding available is $600,000 exclusive of GST.
5	The applicant must be able to demonstrate their capabilities in delivering the project and be able to provide tangible outcomes.
6	All projects must be related to the 2016 Kaikōura-Hurunui-Marlborough affected areas and demonstrate how the project will assist at a grass roots level.
7	All parts of the application MUST be completed fully.

Please ensure your application is eligible for funding. Ineligible applications will not be considered.

6.   Application Process

In order to apply for funding, your application will need to be completed in full.

All applicants are required to do the following:

- Read the Project Management guidelines.

- Complete questions as detailed in the application form.

- Complete and email MPI a detailed budget.

- Read and understand the funding contract.

Please note - All applications for the 2017 Primary Industries Earthquake Recovery Fund must be submitted along with the associated budget to MPI through the email address: funding@mpi.govt.nz by 3pm on Friday 23 June 2017.

No late applications will be accepted.

Applications or any supporting material not submitted to MPI through the funding mailbox will be returned to the applicant and **NOT** accepted for consideration.

Assistance in completing the documents

Further guidance on completing the application questions can be found in Chapter 11 of this document.

Want to discuss your project idea with someone before submitting an application? Contact MPI by email at **funding@mpi.govt.nz** and one of our Investment Advisers will contact you by phone for discussion. Please provide your contact details in any email.

Downloading the templates

A copy of all the templates and guides can be found on the **MPI website**.

Submitting your application

You must submit your application through to the **funding@mpi.govt.nz** mailbox.

7. Assessment Process and Funding Decisions

The assessment is based on the information provided in the application. MPI staff may collect further commentary from sector organisations, councils and professional bodies to provide additional context.

All projects are assessed by an independent panel made up of external primary industry experts, including farmers, foresters, growers, education providers, consultants and regional council staff. Panellists score projects against each of the criteria listed below.

In addition to the panel process, your application may be reviewed by external parties specific to your application. These could be sector bodies, regional and local councils, other government agencies, technical experts and other key primary industry people.

The final funding decisions made by MPI and are based on:

- Panel scores against the assessment criteria (see below)
- Whether the area has already been covered through previous SFF or other research projects
- The level of funding available
- Regional coverage
- Topic area

Note: The Minister for Primary Industries is not involved in the assessment process.

Assessment Criteria

Your application will be assessed by the panel against the following criteria:

1. Contribution to sustainability

Projects must demonstrate how they will contribute to economic, environmental and/or social sustainability for the community of Interest included in the application.

2. Significance of the problem or opportunity

Describe how significant the problem is to the Community of Interest submitting the application. Importance and relative priority to the sector and/or region, plus links to strategic plans or policy objectives (if applicable) will be taken into account. Does the project demonstrate an innovative approach with appropriate linkages to other research/work or is it "re-inventing the wheel".

3. Community of interest commitment

A Community of Interest is a group of people directly affected by a common problem or opportunity who will benefit from a successful project. The application needs to demonstrate their commitment to the project, e.g. by their representation on the project team and their level of cash and in-kind support. The Community of Interest should be led by farmers, foresters or growers.

4. Ability to deliver

Project management, financial management and technical skills plus a sound methodology are needed. MPI must have confidence that the project team can deliver on the proposed project.

5. Adoption and Extension

The proposal needs to demonstrate that the results can be disseminated through appropriate networks that the team has the capability to develop and implement a robust extension strategy that will lead to adoption. It must be clear how the success of the project will be evaluated, what the long-term benefits will be and how they will be measured.

6. Risk

Is the risk involved in the project acceptable? Identify any risks posed by the project as well as any technical and/or delivery risks and how such risks might be mitigated. MPI must be satisfied that the level of residual risk is acceptable and that the funding sought is appropriate for this level of risk.

7. Value for money

Projects need to demonstrate a good return on investment. The overall value of the outcomes of the successful project – whether economic, environmental, and/or social – will be taken into consideration. The level of non-MPI funding and in-kind contributions will be assessed relative to the project.

8. Relation to the 2016 Kaikōura-Hurunui-Marlborough Regions
The project must demonstrate how it will assist farmers/foresters/growers in the earthquake affected area(s).

Decision Notification

All applicants will be notified of the outcome of their application by email by the end of July 2017.

8.   Contract Information

The contract will be forwarded to all successful applicants.

It is important you read and understand the contract terms and conditions.

Intellectual Property

MPI will not own any intellectual property (IP) developed, discovered or created during the course of undertaking these funded projects, including (but not limited to) any copyright in final reports and documents, but will require an unfettered licence to that IP. This is to ensure that the public good generated from the use of public funds through these projects is achieved.

In recognition of the public good objective of the fund, the MPI contract includes an IP clause requiring an unfettered licence which allows MPI to use copy and distribute any IP developed, discovered or created during the course the project on a non-exclusive, royalty-free basis.

The Applicant Group must make all available all material developed as part of the project and this is to be published on the MPI website.

9. Project Management and Reporting

Reporting

All successful projects are expected to submit reports against each of the contracted milestones. Grant payments will only be made upon the successful completion and MPI acceptance of milestone reports. A milestone report should consist of:

- Completion of the online milestone report.

- Attachment of any supporting documents e.g. reports, presentations that have been detailed in your milestone and evidence of success.

- An invoice for the milestone amount. All GST registered projects must submit a GST compliant tax invoice.

The final milestone for each project will also require the project to complete a project fact sheet. This is a two- page document which is intended to summarise and showcase the project and its findings. This template will be provided to successful applicants.

Completion of milestones and approval of payment is at the sole discretion of the Ministry for Primary Industries.

Audit

It is important all successful applicants keep detailed financial records. This is good financial management practice. Whilst proof of expenditure is not normally requested in milestone reporting, MPI could request this at any time.

Each year a group of projects will be randomly selected for performance validation by the MPI auditor. The auditor will request the project's associated reporting and financial records to assess the project's financial management and milestone progress. MPI may also ask for a copy of the accounts to be supplied with any payment request.

10.   Notes to Completing Fund Application

Please read through these notes before completing the application questions.

Section 1: Project Overview

Title	Mandatory?	Requirement
Project Title	Yes	Provide a short title for the project (not a description).
Proposed Start Date	Yes	Enter the date you expect the project to start.
Proposed End Date	Yes	Enter the date you expect the project to finish.
Amount Requested	Yes	Enter the amount of MPI funding required. This excludes any co-funding, in-kind contributions and GST.
Sector	Yes	Please select the main sector that your project is focused on.
Sub Sector	Yes	Please select any sub sector(s) that your project is focused on.
Region	Yes	Please select where your project is based.
Topic	Yes	Please select the topics covered by your project.
Applicant Group Name	Yes	Please enter the name of the group of people applying on behalf of the community of interest.
Legal entity to be contracted with	Yes	Please enter the name of the legal entity that MPI will contract with (if known). MPI will only enter into a funding agreement with a legal entity. If you do not know the legal entity, please leave blank.

Section 2: Project Details

Title	Mandatory?	Requirement
Project Summary	Yes	Summarise your project in less than 100 words. What are the main objectives and outcomes, how will they be achieved and who will benefit? This section needs to provide a good overview of the whole project application for quick reference. If your project is successful, this information will be placed on the MPI website.
Problem or Opportunity/Innovation	Yes	Describe the problem that your project will solve or the opportunity it will take advantage of. Quantify the size of the issue to the community of interest and describe how widespread or locally important the project is. How urgent is the issue? Remember to provide some context where possible, e.g. size of region/industry/hectares affected/impact on return etc, and avoid jargon.
Project Deliverables	Yes	Describe the deliverables of the project and how they will address the problem or take advantage of the opportunity. State what you propose to do. Remember to be clear and concise with your deliverables.
Project Outcomes	Yes	Describe the differences this project will make, both at the completion of the project and in the longer term. State how you will evaluate this and demonstrate that the project has achieved its outcomes.
Risks and Barriers	Yes	Describe the risks that may be posed in carrying out this project – both to the wider primary industries (e.g. political, biological etc) and to project delivery. What are the barriers to success and how will these risks be mitigated?
Contribution to Sustainability	Yes	Describe how the project will contribute to economic, social and/or environmental sustainability – both through the project's deliverables and its end outcomes. Provide examples if possible.
Community of Interest	Yes	Describe the stakeholder group(s) represented by the applicant and who will benefit from the project. Indicate approximately how many landowners/stakeholders/farmers your Community of Interest represents. Explain if this group regional, national or cross-sector. Provide some background into the group's formation and its purpose.

Knowledge Sharing and Extension	Yes	Demonstrate clearly what project results/outcomes will be shared and how they will be extended to, and taken up by, the Community of Interest and also the wider industry. Applicants are expected to develop an extension and communications plan (although the plan itself may not be part of this application). Remember to also build extension activities into your milestone and activities tables. Will this project actually make a difference, who will it make a difference to and how will it make a difference? How will this be evaluated? What will happen after the project is complete – are there plans for ongoing or future work?
Related Work	Yes	Describe how this project relates to any previous or current projects and/or programmes, either in New Zealand or overseas. The applicant group, or its members, does not necessarily have to be involved in this related work – we want you to demonstrate that you are aware of what else is being done and how it fits with your proposal. Make it clear if the proposal is for new work, or builds on previous work.
Methodological Rationale and Project Design	Yes	Describe in detail your project's experimental design or research methodology. Explain the research design in detail including the population to be studied, the tools you will be using to do this, who will be involved, sample size, etc. Provide some context where possible, e.g. size of industry/ hectares affected/impact on return/region, etc, and avoid jargon.

Section 3: Funding and Milestones

Milestones

Milestones are major stages or outputs of a project and are the key to achieving the overall objective of the project. The milestone table will become the main basis for contracting the project deliverables, so must include sufficient detail to enable MPI to monitor progress and substantiate payments. Milestones should be specific, measurable, achievement-focused and time-bound.

Each milestone should contain a detailed description along with how you will prove the milestone has been successfully completed. Once your project has demonstrated successful delivery of the milestone, MPI will make the associated payment. This is upon submission of the appropriate documentation to MPI.

Each milestone requires the following to be completed:

Title	Mandatory?	Requirement
Due Date	Yes	Enter the date you expect the milestone to be completed by
Milestone Description	Yes	Enter a concise title for your milestone
Activities Undertaken	Yes	The description should define the key activities that will be undertaken in achieving the milestone.
Deliverables/Evidence of Completion	Yes	Provide details of all deliverables and how you will confirm that the milestone has been successfully completed e.g. a report or a presentation.
MPI Amount ($)	Yes	Enter the $ amount of funding requested from MPI. This should represent the cost of completing the milestone less any Non-SFF Cash received.
Non- MPI Cash ($)	Yes	Enter the $ amount of Non MPI cash amount that you will receive for this milestone.
In Kind Contributions ($)	Yes	Enter the $ amount of In Kind Contribution amount that you will receive for this milestone.
Total ($)	Yes	Enter the total milestone value. This is the sum of MPI Funding ($) + Non- MPI Cash Funding ($) + In Kind Contributions ($).

All milestone amounts should match the milestone totals in your budget. Please email your budget along with the application form to **funding@mpi.govt.nz** by **3pm Friday 23 June 2017**.

Co-Funding

Enter details of all cash and in-kind co-funding required. For further information, see Chapter 10.

Title	Mandatory?	Requirement
Co-Funder	Yes	Enter the name of the organisation or individual who is providing the co-funding
Amount ($)	Yes	Enter the amount of cash co-funding that is being provided.
Status	Yes	Indicate whether the co-funding has been confirmed.
Copy of confirmation available?	Yes	Indicate whether you have a confirmation of approval funding e.g. a letter or email. You will be required to prove all co-funding before MPI will enter into a contract for funding.

Section 5: Project Resources

It is important that applicants can demonstrate they have the necessary skills to deliver a successful project. Project management, financial management and technical skills plus a sound methodology are required.

Project Team

Enter details of your proposed project team. It is mandatory for each project to nominate a Project Manager, Finance Manager and a Chair Person. The Project Manager and Finance Manager cannot be the same person.

Title	Mandatory?	Requirement
Name	Yes	Enter the name of the person performing the role.
Organisation	Yes	Enter the name of the Organisation that the person primarily works for.
Role	Yes	Enter the nominated person's role. It is mandatory to select a Project Manager, Finance Manager and a Chair Person.
Confirmed?	Yes	Indicate whether the nominated person has confirmed they will perform the role in the project.
Phone	Yes	Enter the person's phone number.
Mobile	Yes	Enter the person's mobile number.
Email	Yes	Enter the person's email.
Comms Contact?	Yes	Indicate whether the person is the nominated project communications contact. You must nominate 1 person to perform this role. The nominated person's details will be published on the MPI website.

Sub-Contractors

Enter the names of any subcontractors that will be involved with the project. This could be research, delivery or extension contractors.

Title	Mandatory?	Requirement
Name	Yes	Enter the name of the sub-contractor.
Organisation	Yes	Enter the name of the sub-contracting Organisation.
Role	Yes	Enter the nominated sub contractor's role.
Confirmed?	Yes	Indicate whether the sub-contractor has been confirmed.

Section 5: Other Information

Enter any other information that you feel is relevant to your application.

Section 6: Declaration and Acceptance

Please read through each of the statements and ensure you understand and agree to them.

11. Non-MPI Funding

Non-MPI Cash Funding

These are other sources of cash funding that exclude MPI and your own organisation. This can come from a variety of sources and include local council, industry bodies, trusts, NGOs, etc.

The 2017 Primary Industries Earthquake Recovery Fund will only fund projects that can secure a minimum of 20% of the total project cost through other cash and in-kind sources.

In-Kind Contributions

In-kind contributions are materials, equipment or services given to the project for free. These amounts would normally come from the community, farmers or foresters involved in the project, councils and sector bodies.

Valuing In-Kind Contributions

For a contribution to count as "in-kind", the contributor should incur actual and real costs resulting from their direct involvement in the project. For example, ploughing a field or sowing a crop which is a project trial plot, using a private vehicle to get to a project site, or giving up time to deliver a project workshop. This does not include undertaking activities that form part of their normal day-to-day duties (i.e. doing something that would be done anyway).

For in-kind personnel costings please use the following rates:

- Personnel - Personnel should be valued at rates that allow for overheads, administrative costs and local travel expenses, which form part of the work done by an individual. These expenses cannot be claimed separately. Personnel rates are:
  – Rate A: $135 per hour for consultants, scientists, lawyers and expert advice.
  – Rate A: $85 per hour for technical, scientific expertise or professional advice (council officers, engineers, accountants, etc).
  – Rate B: $35 per hour for general labour, administration and those not covered by Rate A.
- Project support costs - These should be valued at the lower of actual cost or market value (e.g. cost of hire, workshop costs and catering).

12.   Other Important Information

The following information should be considered when making an application.

Confidentiality

Information in project applications will usually be limited to the Investment Programmes team, panellists, other MPI staff and external assessors (including other funders or pan-industry organisations whose input is sought). However, if MPI receives two or more applications that are similar, MPI may wish to broker a coordinated or amalgamated project. In this instance information between applicants may be shared.

If the applicant considers any part of their project to be confidential then they must make a written request at the time of submission. The request should specify the party(s) whom the applicant does not wish to view the application and the reasons why.

Official Information Act

All information provided to the Ministry for Primary Industries is subject to disclosure under the Official Information Act 1982.

Further information on the Official Information Act 1982 can be found at on the Ombudsman website at
http://www.ombudsman.parliament.nz/

Publicity

The Ministry for Primary Industries reserves the right to use information regarding funded projects for publicity purposes.

Acknowledgement of Funding

The Ministry for Primary Industries must be acknowledged as a source of funding in all publications and publicity regarding grant funded projects. MPI may specify the form and content of such acknowledgement. The MPI logo should also be used where ever possible. This will be provided to successful applicants.