

*Waikato River Clean-up Trust*  
Funding Strategy

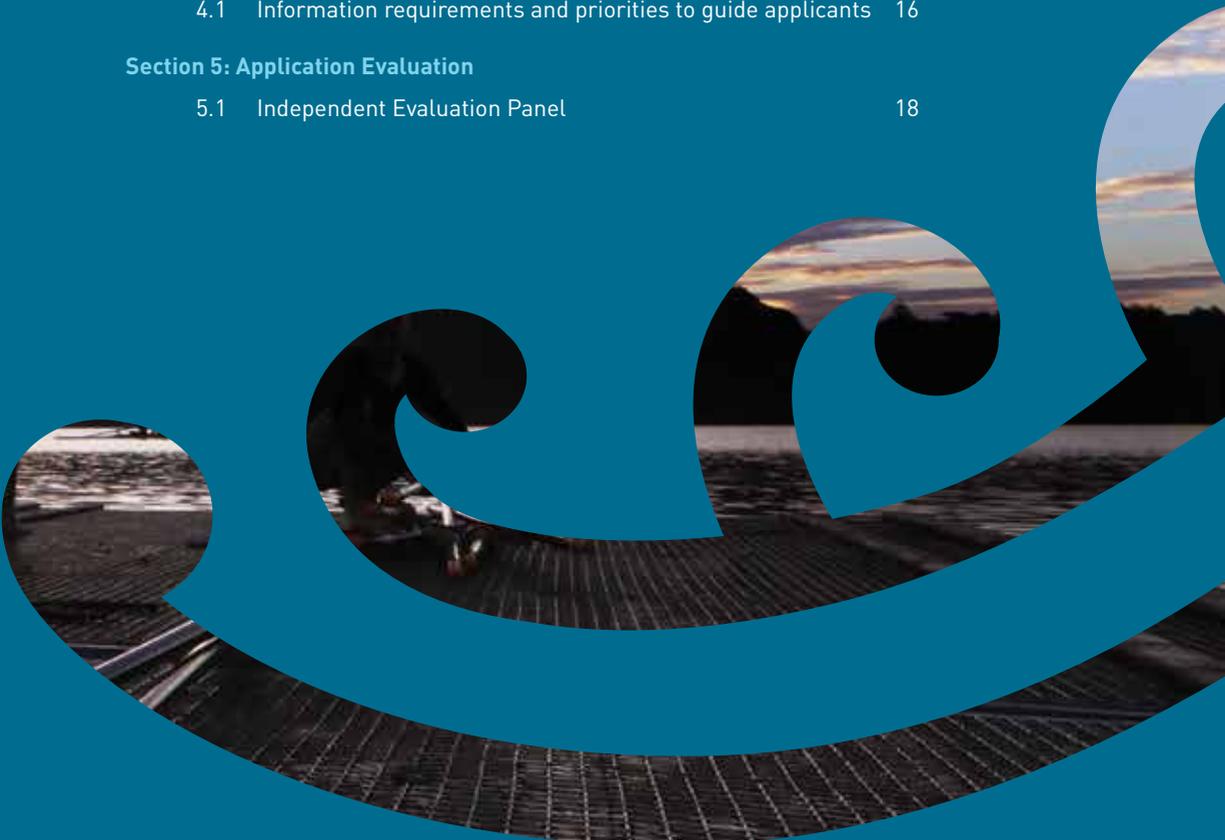
2019



*Cover photograph: Considerable planting and other environmental work around the Mangapu Stream at various points in the Waipā as part of the soil conservation and sediment control project.*

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# From the Co-chairs

## *Teena koutou, teena koutou, teena koutou katoa.*

The 2019 funding round for the Waikato River Clean-up Trust is significant in that it is the first time the Trust has specifically identified projects it would like to see undertaken.

In the past the Trust had contained priorities to themes and areas.

As part of this 2019 Funding Strategy, the Trust has again placed reliance on the Restoration Strategy for the Waikato and Waipā Rivers. The Strategy was launched early in 2018 by the Hon David Parker, Minister for the Environment, as a blueprint for restoration work in the catchment for the next five to 15 years. While the Restoration Strategy is not duplicated here in this 2019 Funding Strategy, it is very much a companion document in laying out restoration priorities.

The Restoration Strategy can be viewed at [www.restorationstrategy.nz](http://www.restorationstrategy.nz)

Identified in the Strategy, and given additional weight by the Trust for this 2019 funding round are the following projects:

- Project UW 16: Kōura habitat rehabilitation in Waipapa, Mokauteure and Ongarahu streams
- Project UW 5: Water quality improvement in the Lower Pokaiwhenua catchment
- Project CLW 20: Rehabilitate fish habitat in streams flowing from Hakarimata Range to the Waikato River.

The importance of our native fish species is a particular focus in the selection of these key projects. This is an area of strong attention in iwi environmental management plans and for stakeholder groups and individuals across the

whole of the catchment. We are therefore giving project work that gives support to these native fish species special emphasis.

The Authority is constantly mindful of the need to report on its progress and the headway being made in cleaning-up the river. In this regard, work towards a follow up Report Card on the health and wellbeing of the river is an important undertaking so we can all understand the journey and progress towards achieving Te Ture Whaimana.

We look forward to again receiving and approving high-quality collaborative projects, as we have in the past, that will help us all achieve the vision for the Waikato River.

Ngaa mihi,



A handwritten signature in black ink, appearing to be 'John Luxton'.

**Hon John Luxton**  
Co-chair



A handwritten signature in black ink, appearing to be 'Roger Pikia'.

**Roger Pikia**  
Co-chair

*Right: Lance Kerr and his family are proving that pastoral farming can go hand-in-hand with lake restoration at Lake Rotongaro.*



*Above: Waikare Marae kaumatua, Waikato-Tainui staff and project organisers at the urupā project on the edge of Lake Waikare.*

*Right: The Meadow Walk in Cambridge was funded eight years ago by the Waikato River Authority. Once boggy farmland is now a planted walk and wetland.*



*Above: NIWA whitebait restoration work, assisted with funding from the Waikato River Authority, has seen the installation of pest fish barriers to help whitebait populations.*

*Right: Sir David Fagan has overseen significant planting on his dairy farm near Te Kuiti as a means to making his property more environmentally friendly.*



*Channels have been opened up on Motukakaho Island to enable tree planting and the creation of habitat for whitebait spawning.*

# The Waikato River and its catchment

The Waikato River and its region has been populated for at least the past 700 to 800 years. The river provided physical and spiritual sustenance for large populations of Māori living along its catchment. Throughout that time it was a source of food, including tuna, other fish and plants. It was also an important waka route.

With the arrival of European settlers in the 1840s and 1850s the Waikato River was the main access route inland for traders and missionaries.

The last hundred years have seen sweeping changes to the region's landscapes where people have settled, used and created resources. Over time, the human activities along the Waikato River and the increasingly intensive land uses through its catchments have degraded the Waikato River and reduced the relationships and aspirations of communities who identify with the Waikato River.

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***This degradation of the Waikato River and its catchment has severely compromised Waikato River iwi in their ability to exercise kaitiakitanga or conduct their tikanga and kawa.***

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This degradation of the Waikato River and its catchment has severely compromised Waikato River iwi in their ability to exercise kaitiakitanga or conduct their tikanga and kawa.

Through the Treaty Settlement process between Waikato-Tainui and the Crown the Guardians Establishment Committee was formed with the support of other Waikato River iwi. In 2009 the Guardians Establishment Committee finalised its Vision & Strategy for the Waikato River. That Vision & Strategy, "to restore and protect the health and wellbeing of the Waikato River", has been incorporated in the settlement legislation for the Waikato River Raupatu Claim – the legislation under which the Authority is constituted. The Authority assumed guardianship of the Vision & Strategy at the time of its formation in 2010.

In 2012 the Nga Wai o Maniapoto legislation was enacted to include the upper catchment of the Waipa River through to its junction with the Waikato River. The Vision & Strategy now applies to the whole of the Waipa River catchment.

The Vision & Strategy incorporates the objectives sought by Waikato-Tainui and that also reflect the interests of Waikato River iwi and of all New Zealanders.

These objectives encompass all people of the Waikato River and their relationships with it – through their communities, industries, and their environmental, recreational, social and cultural pursuits.

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***A number of important actions are being taken to support the achievement of the Vision & Strategy, such as the Waikato Regional Council's Healthy Rivers plan change.***

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A number of important actions are being taken to support the achievement of the Vision & Strategy, such as the Waikato Regional Council's Healthy Rivers plan change.

This plan change, with a focus on water quality within the catchment, will provide a regulatory framework to help achieve the objectives of the Vision & Strategy. Complementing the regulatory approach was the development of the five-15 year Restoration Strategy for the catchment. This is a non-regulatory strategy to provide a co-ordinated approach to restoration activities in the years to come.



# 1/ Background and context

## 1.1 The Authority and its role

The overarching purpose of the legislation that created the Waikato River Authority ('the Authority') and the Waikato River Clean-up Trust (the 'Trust') is to restore and protect the health and wellbeing of the Waikato River and its catchment for future generations.

The purpose of the Authority is to:

- Set the primary direction through the Vision & Strategy to achieve the restoration and protection of the health and wellbeing of the Waikato River for future generations
- Promote an integrated, holistic, and co-ordinated approach to the implementation of the Vision & Strategy and the management of the Waikato River
- Fund rehabilitation initiatives for the Waikato River in its role as trustee for the Waikato River Clean-up Trust.

The Authority is the sole trustee of the Waikato River Clean-up Trust. The Trust administers and distributes a contestable fund to work towards the restoration and protection of the health and wellbeing of the Waikato River for present and future generations (this forms the Trust's objective). In doing so it must pay adequate regard to the Vision & Strategy and the Waikato River Independent Scoping Study (WRISS). As the sole trustee the Authority determines which projects receive funding in accordance with criteria set annually.

The area that this Strategy applies to is the Waikato River and its catchment from Huka Falls to Te Puuaha o Waikato and the upper catchment of the Waipa River through to its junction with the Waikato River (as shown in the map on page 7). The "River" is defined in the Settlement Legislation as including the main stem, the tributaries, and all associated lakes and wetlands within the catchment.

## 1.2 The purpose of this document

The Trust reviews funding priorities annually to ensure funding continues to be aligned with the objectives of the Trust and the Authority. To help achieve this the Authority has formed, with other members of the community, the Waikato River Restoration Forum to support a comprehensive and connected approach to clean-up projects.

This document forms the Funding Strategy for 2019 for the Trust. It presents the criteria that the Authority believes will best position the Trust to award funds in a fair and consistent manner to projects that will not only meet the requirements set out in its legislation but will also lead to the most effective response for the restoration and protection of the health and wellbeing of the Waikato River and its catchment.

Priorities are presented both in terms of the geographical areas the Authority believes should draw particular focus from applicants, and also the nature of the projects the Authority believes are a high priority in and across those geographical areas.

## 1.3 The Waikato River Clean-up Fund

The Trust is responsible for administering a Clean-up Fund of \$220 million over 30 years. This year the Trust has decided that up to \$6 million will be available in the funding round.

Annual funding decisions are based on:

- Applicants meeting the funding criteria
- Applications being for projects identified as priority areas by the Trust
- The quality of the applications received.

The Clean-up Fund is contestable. The Trust may or may not award all or any of the identified funds in a funding round as this will depend on the quality of applications received and the quantity of funding sought by applicants. The Trust may also award a lesser amount than that applied for.

The timing for this round of funding is:

- Funding round opens for applications 1 July 2019
- Funding applications close 4pm Thursday 22 August 2019
- Decisions announced to successful applicants in October 2019
- Deeds of Funding completed by 30 January 2020 (the Trust reserves the right to withdraw funding from applicants not able to complete the Deed of Funding as required). Applications should be for works that are intended to start on or after 1 February 2020.

The Trust is open to funding a range of projects at different scales and over varying time frames. This could include one-off short term projects as well as projects taking up to five years, all to be funded from the current funding round.

All applications for funding must be completed using the application portal available on the Authority's website [www.waikatoriver.org.nz](http://www.waikatoriver.org.nz). This will be available as of 1 July 2019.

#### 1.4 Background documents to support applications

Applicants may find the following documents useful background in preparing applications:

- The Waikato-Tainui Raupatu Claims (Waikato River) Settlement Act 2010 and the Waikato Tainui Environmental Plan
- The Ngati Tuwharetoa, Raukawa and Te Arawa River iwi Waikato River Act 2010
- The Nga Wai o Maniapoto (Waipa River) Act 2012 and Ko Tā Maniapoto Mahere Taiao – The Maniapoto iwi Environmental Management Plan 2016
- The Vision & Strategy for the Waikato River
- The Waikato River Independent Scoping Study
- The Waikato and Waipa River Restoration Strategy.

These documents are available online at [www.waikatoriver.org.nz](http://www.waikatoriver.org.nz) along with a list of previously funded projects. Applicants should also consider the priorities identified within the various River iwi (Tuwharetoa, Te Arawa, Raukawa, Waikato-Tainui, and Maniapoto) environmental management plans, fisheries plans and associated environmental prioritisation documents (e.g. Maniapoto Priorities for the Restoration of the Waipa River Catchment), as well as other catchment focused restoration strategies when developing their application.

## 2/ **Criteria for applicants and applications**

### 2.1 **Criteria for applicants and applications**

The four key guiding concepts for the Trust are: Protect – Restore – Health – Wellbeing. In relation to the Waikato River and its catchment these concepts define much of the criteria for what sort of projects should be funded. The Trust has developed a range of criteria that guide applicants in considering whether (and how) to prepare an application for funding. Some of these criteria are mandatory (i.e. all applicants must meet them), and others are intended to guide applicants in terms of the Trust's priorities.

### 2.2 **Threshold criteria**

The Trust expects that all applications should meet the following broad 'threshold tests' before being considered eligible for funding:

- Any organisation or group applying for funds of more than \$25,000 must be GST registered (this includes organisations who make multiple successful applications in a single funding round that total over \$25,000)
- Projects must be focused on one or more of the four key guiding concepts of protecting, restoring, health and wellbeing in relation to the Waikato River and its catchment
- Projects must be technically achievable, and applications must clearly demonstrate this
- Preference will be given to projects that are able to demonstrate to a high level, certainty of success
- Applicants must describe how the project will achieve benefits in regard to the four wellbeings of cultural, social, environmental and economic
- Applicants must know the outcomes the projects will deliver and be clear what constitutes 'success'. Project applications must demonstrate how monitoring against objectives will occur (e.g. site visits and peer review both during the project and after it is completed)
- The project should provide an outcome that will be maintained into the future without the need for ongoing funding from the Trust.

### 2.3 **Objectives outlined in legislation**

In addition to the Threshold Criteria above, all applications for projects are required to meet the objectives of the Trust outlined in the legislation and summarised below. These include:

- a) The Trust should not fund a project or a part of a project that another agency should or would fund (or be likely to fund) in the normal course of its operations if the Trust did not exist, eg. fencing of waterways on dairy farms, or activities that a territorial authority should undertake as part of their role would not be funded
- b) The Trust seeks efficiency in the allocation and use of funding, including having particular regard to the desirability of applicants using matching or supplemental funding from other sources, ie. higher co-funding (either in-kind or cash) is beneficial
- c) Preference will be given to projects that achieve practical results over projects that are purely for research purposes
- d) The Trust requires that adequate regard be given to the Vision & Strategy in applications, including clear demonstration of how proposed projects will give effect to the Vision & Strategy
- e) The Trust requires that adequate regard be given to the report of the Waikato River Independent Scoping Study
- f) The Trust requires that adequate regard be given to any other relevant research (either within or outside the Waikato Catchment)
- g) The Trust requires that adequate regard be given to the extent to which projects would further iwi environmental plans, in the case of applications from iwi or applications based on Maatauranga Maaori or on the mauri of the Waikato River.

## 2.4 General requirements for all applicants

In addition to each application meeting the criteria outlined above, all prospective applicants must meet the following general criteria:

- **GST**  
All funding applications must refer to **GST inclusive figures** at all times. Because the Waikato River Clean-up Trust receives its funding from the Crown in GST inclusive amounts, all funding business will be conducted in this way.
- **Legal Entity**  
Funding applicants must be a legal entity in New Zealand, and for projects over \$25,000 (or multiple successful applications from a single entity amounting to more than \$25,000 in a single funding round) must be GST registered. Applicants must not be currently registered as bankrupt or insolvent.
- **Health and Safety**  
All applicants must confirm that they understand their health and safety obligations in relation to the work for which a grant is sought, and have considered these in connection with the methods, materials, personnel and timeframes proposed. They must also confirm that they have procedures in place to meet these obligations. Where a project involves work which has the potential to result in injury or illness, applicants must provide a draft health and safety plan as part of the application.
- **Trust Indemnified**  
If the Trust suffers any loss or damage as a result of any act or omission of a Recipient, its employees, agents or contractors, the Recipient shall fully indemnify the Trust.
- **Deed of Funding**  
All successful applicants will be subject to the terms and conditions of the Trust's Deed of Funding, which represents the funding contract between the Authority and the Recipient. The Deed of Funding must include a detailed project plan. This plan, at a minimum, shall contain:  
Deliverables (the identifiable outcome(s) that will be delivered by the project as a whole)

  - Key tasks (the key activities that will be undertaken to deliver the project successfully and for which reporting and invoicing will occur)
  - A project budget including requested contributions from the WRA, cash co-funders and in-kind contributors.
- **Co-funding**  
The Clean-up Trust notes that all successful applications will have an element of co-funding (cash/in-kind) included as part of their project. The greater the level of co-funding, the greater the weight the Trust will give to the application.  
It is recognised that the Clean-up Trust Funds were derived from a Crown-Iwi Treaty settlement process. Accordingly, the same cash co-funding requirements are not applied to River iwi led projects. However, there is still an expectation that in-kind funding will be included in iwi led projects.  
Co-funding can only include new funding, and not funding or expenses incurred prior to the applied for project commencing. Quantified in-kind activity will be considered as co-funding. For a list of funders of environmental projects visit:  
[www.waikatoriver.org.nz/funding-applications/](http://www.waikatoriver.org.nz/funding-applications/)
- **Financial and Reporting Systems**  
The Authority requires all applicants to maintain sufficient financial and reporting processes to provide confidence that any funds awarded are used in the most appropriate manner to achieve the objectives of the project.

## 2.5 Other matters for consideration

### ***Iwi Environmental Plans***

Applications should consider and document the extent to which the project will further the achievement of the relevant iwi environmental plans. Discussion of such projects with the relevant iwi environmental team is required.

### ***Related projects***

The Trust considers it advantageous if newly funded projects are related to adjacent or nearby restoration and/or protection projects, and/or build on existing initiatives. Previously funded projects may be found at [www.waikatoriver.org.nz/funded-projects/](http://www.waikatoriver.org.nz/funded-projects/)

The Trust recognises set-up costs may be required as part of applications for funding and these costs may include research, tools, training, and extension programmes. They must not include any capital purchases (i.e. items that can be used beyond the life of the project as part of a business e.g laptops, ipads, vehicles, boats and machinery).

The Trust requires applicants to consult with the appropriate Waikato River iwi who hold mana whenua relevant to the project area.

The Trust will not fund works that are required arising from the statutory planning framework within the Waikato region, or by industry regulation.

The 'polluter pays' principle will apply to projects and the Trust will not generally fund a project to address discharges or contamination that are the responsibility of the entity that created them. In exceptional circumstances the Trust may consider funding projects with a high degree of public good on a co-funding basis with polluters.

It is important to note that the Trust provides funds to cover the costs incurred in completing an agreed project, up to the maximum value approved. Projects will be reimbursed for actual costs incurred only. Unspent funds will be used by the Authority for future restoration activities.

### ***Healthy Rivers Plan***

The Trust will not fund works that are clearly required as part of the proposed Healthy Rivers Plan. In particular, fencing projects that entail only the minimum requirements of the Plan will not be eligible to receive a funding contribution for that part of the project. Applications will however be considered where works proposed go beyond the Plan requirements e.g. through larger fencing setbacks.

### ***Fencing standards***

All projects receiving funding which include a component of planting are required to have permanent stock proof fencing erected to protect the planting. The following fencing standards have been developed to provide guidance as to the minimum standard required.

	Electric	Standard
Sheep (and cattle)	5 wire, permanent posts	7 wire, post and batten
Cattle only	3 wire, permanent posts	5 wire, permanent posts

Note: grant funds may not be used for fencing of waterways on dairy or dairy support properties unless they go beyond the standards required by industry regulation.

### ***Protection of sites***

Where funding of greater than \$100,000 is provided by the Trust, it is likely that a condition of funding will be that a protection mechanism (e.g. covenant or encumbrance) be put in place to protect the work undertaken. This will be treated on a case by case basis however applicants should state whether works will be legally protected as part of the application.

### ***Native plant establishment***

For projects that involve native planting, ensure that your project duration and funding covers the full establishment of native plantings. This will normally involve two or three years of weeding and releasing following planting.

## 3/ Priorities for funding

### 3.1 Background

The Trust consulted widely and through its networks has drawn on a wide range of sources to develop its priority areas.

In setting the following priorities the Trust has also given adequate regard to the Waikato River Independent Scoping Study (WRISS). The key purpose of the WRISS was to provide the Crown and Waikato River iwi with a sound and objective basis on which to make decisions about the priority actions required to restore and protect the health and well being of the Waikato River for future generations.

### 3.2 Waikato and Waipā River Restoration Strategy

In April 2018 the Waikato and Waipā River Restoration Strategy was launched by the Minister for the Environment, Hon David Parker. This is a five to 15 year action plan for the Waikato and Waipā rivers and their catchments with the purpose of guiding funding and restoration activities throughout the catchment. Projects have been prioritised so that they are likely to make the greatest difference in improving the health and wellbeing of the Waikato and Waipā rivers, and reflect the values and goals of the iwi and communities within the catchment.

The Strategy can be viewed at [www.restorationstrategy.nz](http://www.restorationstrategy.nz)

The Trust would therefore like to give the highest priority to all those projects identified in the Strategy. In particular, the following projects have been identified as key projects the Trust would like to see applications for in 2019:

- Project UW 16: Kōura habitat rehabilitation in Waipapa, Mokauteure and Ongarahu streams
- Project UW 5: Water quality improvement in the Lower Pokaiwhenua catchment
- Project CLW 20: Rehabilitate fish habitat in streams flowing from Hakarimata Range to the Waikato River.

The Trust would also like to encourage iwi (including iwi authorities, hāpu and whānau) to undertake the iwi priorities identified in the Restoration Strategy.

#### **NOTE:**

***Not all components of Restoration Strategy projects meet WRA funding criteria. Applicants should check the criteria outlined in section 2 and 4 of this document or contact the WRA Funding Manager to check before submitting an application.***

***Applications must also provide a more detailed plan and costings than that provided in the Restoration Strategy.***

### 3.3 Other priorities

In addition to the specific projects identified in the Waikato and Waipā River Restoration Strategy, the priorities listed below more broadly describe the priorities of the Trust. The first three of these are geographically based.

#### **1. Karapiro Dam to Te Puuaha o Waikato (the mouth of the Waikato River) referred to in the map Area A (page 7)**

Priorities for Trust funding for this area include projects that address or demonstrate:

- Tangible outcomes in improving lake, river and stream water quality
- Improving habitat quality and connectivity for taonga species including tuna
- Projects that improve the passage of native fish species, including improved downstream passage of large migratory species
- Habitat and water quality enhancement at high priority lakes including Lakes Waahi, Waikare, Whangape and Rotoroa

- Restoration of whitebait spawning sites, including artificial habitat in the short term until native vegetation re-establishes
- Restoration of waterways in the Karapiro, Mangaonua, Matahuru, Waerenga, and Mangawara catchments, and other priority catchments as identified in the Waikato and Waipā River Restoration Strategy
- Improving the health of wetlands, including the Whangamarino wetland, Opuatia and headwater seeps and springs
- Improved access to the Waikato River, including to sites of significance to Haapu and marae
- Investigating native species establishment as dominant predators in the Waikato River and its lakes including through the impacts of koi carp removal
- Projects that support an integrated approach to managing alligator weed and yellow flag iris in order to protect current and future restoration investment
- Projects that contribute to understanding management options and for koi carp.

## 2. The Waipā River catchment referred to in map Area C and part of map Area A (page 7)

Those applications that are based on the mauri of the Upper Waipa River should consider and document the extent to which the project will further the achievement of the Maniapoto Environmental Management Plan and Maniapoto Priorities for Restoration of the Waipa River Catchment. Discussion of such projects with the Maniapoto Maori Trust Board is required.

Priorities for Trust funding for this area include projects that address or demonstrate:

- Tangible outcomes for water quality, in particular through reduction of sediment and E.coli load to the Waipā River
- Projects identified in the Waikato and Waipā River Restoration Strategy, and the Waipa Catchment Plan, particularly those in the Moakurarua, Kaniwhaniwha, Waitomo, Mangaokewa and Mangapu catchments
- Land retirement/afforestation of severely eroding land, including hill country planting and forestry
- Restoration of river network connectivity to enable biota to access upstream habitats
- Wetland protection and restoration including of puna
- Protection of habitat of significant fisheries including tuna and pihirau
- Stabilisation of erosion hotspots including river banks at a scale appropriate for reducing suspended sediment loads
- The preservation of sites of significance along the Waipa River
- The outcomes of the Upper Waipa Feasibility Study.

## 3. Above the Karapiro Dam to the Huka Falls referred to in map Area B and part of map Area A (page 7)

Priorities for Trust funding for this area include projects that address or demonstrate:

- Implementation of projects identified in the Waikato and Waipā River Restoration Strategy
- Tangible outcomes in improving water quality including through nutrient reductions
- Wetland restoration, protection and recreation, including headwater seeps and springs
- Restoration and enhancement of waterways and puna of cultural significance to iwi
- Protecting the diversity of natural landscapes such as unique geothermal landscapes
- Protection and restoration of native fisheries and their habitats, including improved migration corridors for native species, especially tuna
- Improving the cultural, environmental and recreational values of the Waikato River hydro lakes

- Supporting Maori land blocks to achieve sustainability outcomes, where such outcomes give effect to the Vision & Strategy
- Projects that support the implementation of Iwi Environmental Management Plans including the development of such plans (where they seek to achieve the Vision & Strategy and the Waikato and Waipā Restoration Strategy)
- Improving access to the Waikato River, in particular to sites of significance to Hapuu and marae.

#### 4. Maatauranga Maaori

We support projects specifically identified as Maatauranga Maaori. However Maatauranga Maaori may be supported in any of the funding areas outlined and, where appropriate, this should be acknowledged.

Maatauranga Maaori is usually used to mean 'Maori knowledge' – distinctive knowledge created by Maori in history and arising from their living circumstances, their world view and their experiences.

The Trust encourages applications that recognise the important contribution of Maatauranga Maaori to the clean-up of the Waikato River and its catchment. Projects that work to reinvigorate the relationship of the Waikato River iwi and the Waikato River will be especially supported. Seven key areas have been identified:

- i. The improvement of the health and wellbeing of the Waikato River through the practice and implementation of Kaitiakitanga by its iwi, including through their tikanga
- ii. The preservation and dissemination of traditional knowledge relating to the Waikato River, including knowledge of the historical connection of iwi to the Awa
- iii. The development of kaitiaki tools to support Haapu and marae, including water quality monitoring kits
- iv. Restoration and enhancement of the mauri of the waterways in the Waikato River catchment
- v. The preservation of sites of significance to iwi, including the preservation of knowledge of sites that no longer remain
- vi. Projects that support the creation, restoration and/or enhancement of kai producing areas including for waatakirihī
- vii. Other projects identified as iwi priorities in the Waikato and Waipa River Restoration Strategy, and that meet the funding criteria of the Trust.

#### 5. Projects that have a community outcome associated with the Waikato River and its catchment

These may include (but are not limited to) projects that:

- Involve community catchment care groups
- Improve public access and experience of the Waikato and Waipā Rivers, including through the use of signage and electronic media
- Support liaison between groups engaged in Clean-up Trust funded projects
- The undertaking of educational and communication activities that promote awareness of the values important to Waikato and Waipā River Iwi and that improve catchment understanding of the Vision & Strategy
- Include a training/educational component that provides increased capacity within the skilled labour force required for river protection and restoration works
- Projects that promote the work of the WRA and its funded projects within the community, with the aim of helping to increase engagement and participation in restoration activities.

## 6. Projects that contribute to iwi capacity building

- Applications that assist River Iwi Trusts in providing professional capacity building and training opportunities to their marae and Hapuu. This may include (but is not limited to) support with project management and reporting, Health and Safety training and field operations
- Applications that support collaboration and partnerships with tangata whenua.

## 7. Projects that help to demonstrate the effectiveness of projects funded by both the Waikato River Clean-up Trust and others

These may include (but are not necessarily limited to):

- Further development of the Waikato River Report Card
- Projects that focus on using spatial technology that assist in better understanding of the investment made to date, and that may incorporate future modeling
- Projects that help to demonstrate the effectiveness of the fund in stopping degradation and loss of freshwater ecosystem health and reversing past damage.

## 8. Projects that improve water quality and ecosystem health in streams, wetlands, lakes and drains that flow into the Waikato River and its catchment

- Projects that make use of innovative technologies and approaches to improve water quality in lakes, streams and rivers
- Projects that are likely to result in material improvements within five years
- Projects that seek tangible outcomes across the range of ecosystem health components including:
  - Aquatic life – the abundance and diversity of indigenous biota including microbes, invertebrates, plants, fish and birds
  - Habitat – the physical form, structure and extent of the waterbody, its beds, banks and margins, riparian vegetation and connections to the floodplain
  - Water quality – the physical and chemical measures of the water
  - Ecological processes – their interactions among biota and their physical and chemical environment.

# 4/ Information requirements

## 4.1 Information requirements and priorities to guide applicants

All applications for funding must be completed using the application portal available on the Authority's website [www.waikatoriver.org.nz](http://www.waikatoriver.org.nz). Applications must contain the following information:

### **Objectives of the proposed project**

- What is the project, what are the benefits, when and where will it occur, and how long will it take?

### **Outcomes of the proposed project**

- Identify the specific outcomes that the project will deliver.

### **Vision & Strategy**

- Outline how the proposed project will contribute to the Objectives and Strategies in the Vision & Strategy.

### **Fit with funding strategy**

- Identify how the criteria and priorities for the Trust are met, as outlined in this Funding Strategy 2019.

### **Scope**

- Identify both what is in, and out, of scope.

**Proposed approach**

- Identify the proposed approach to successful implementation, including major tasks, deliverables (with dates) and budget
- Identify approach to reporting, both during and after the project is completed.

**Personnel**

- Identify the proposed team and their respective roles, including any subcontractors (where known).

**Costs**

- Provide a breakdown of the estimated costs (**in GST inclusive amounts**) of the proposed project, clearly linking costs to the tasks in the application. Identify any matching or supplemental funds that are to be provided by others.

**Project Management**

- Applications can include costs associated with Project Management. However, if project management costs for the project are greater than 10% of the overall project budget a break down of the estimated hours and cost per hour associated with project management is required. Project components such as consultation and community engagement are not considered project management, but rather part of project delivery, and should therefore be itemised separately from Project Management.
- WRA would normally expect not to cover the entire cost associated with Project Management so this is an item of expenditure that co-funding should be sought for.
- Project Management costs can include:
  - General office overheads
  - Printing and stationery
  - Preparing reports and invoices to WRA
  - Procurement of resources for the project
  - Time spent paying project related invoices
  - Contractor management
  - Project planning and oversight
  - General vehicle mileage for PM related work
  - Health and Safety planning
- WRA will not pay for:
  - Time spent undertaking GST returns and general accounting
  - Annual returns to the companies office
  - Accountants costs
  - Costs associated with operating a Trust or Incorporated Society
  - Insurance costs

**Risks and mitigation**

- Identify major risks and proposed mitigation measures that will ensure the project is successfully delivered to time, cost, and quality requirements as outlined in the proposal.

**Health and Safety**

- All applicants must confirm that they understand their health and safety obligations in relation to the work for which a grant is sought, and confirm that they have procedures in place to meet these obligations. Where a project involves work which has the potential to result in injury or illness, applicants must provide a draft health and safety plan as part of the application.

**Previous experience**

- Provide a synopsis of the organisation’s relevant experience for the proposed project
- Provide a synopsis of the proposed applicant and project teams’ relevant experience. CVs are not required.

### **Project Plan**

- Applicants must include a detailed project proposal/project plan as an attachment to the application if the value of their application is over \$100,000
- For projects less than this value it is highly recommended that a basic project plan is submitted
- A project plan should include (but not be limited to):
  - An overview of the reasons for the project
  - A detailed description of intended results/deliverables
  - A detailed breakdown of all work required
  - Detailed costings (showing cost assumptions)

## **5/ Application evaluation**

### **5.1 Independent Evaluation Panel**

All applications are assessed by an Independent Evaluation Panel. This panel is appointed by the Waikato River Authority Trust Fund Manager in consultation with the Chief Executive. Panel membership is rotated periodically to ensure there is a balance between continuity and a spread of expertise across the range of applications we expect to receive.

No external parties influence appointment on the Independent Evaluation Panel, although the Trust does seek to have an appropriate Waikato Regional Council staff member participate so we can directly access the body of technical knowledge within council, and avoid funding duplication.

Conflicts of interest between panel members and applications are managed as they arise.

There are two further stages after the recommendations are received from the Evaluation Panel before a project is accepted for funding:

1. The full board of the WRCUT considers the recommendations from the Evaluation Panel and makes a final funding decision
2. The Trust Fund Manager works with successful applicants to ensure a Deed of Funding is completed to our satisfaction. If it is not, a recommendation will go back to the full board for consideration.



