



**Te Wai Māori**

**Wai Ora Fund**

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**Guidelines for Applications**

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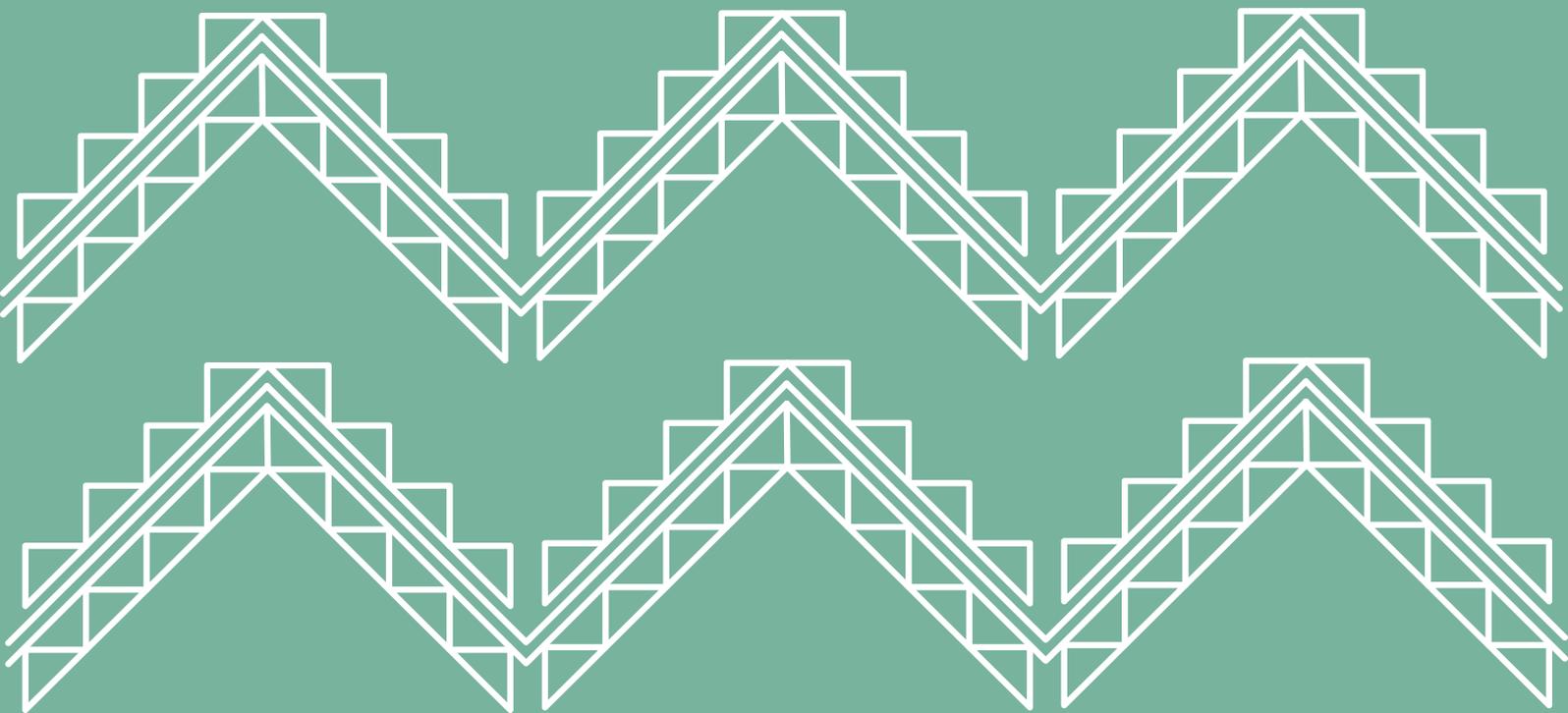
**2019**

# Contents

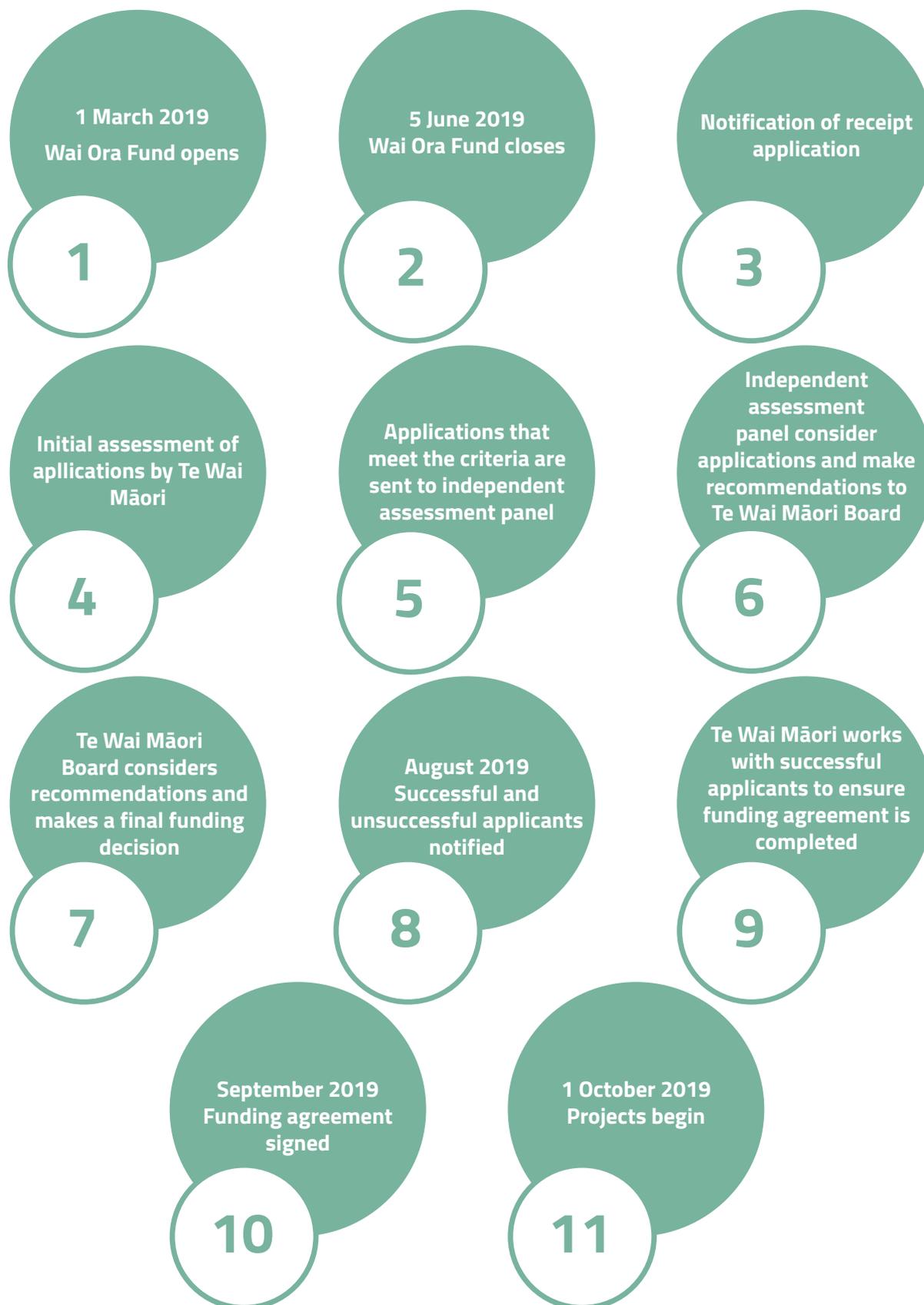


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# 1. Wai Ora Fund Process Map & Key Dates





## 2. Background and purpose

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### 2.1 Te Wai Māori Trust and its role

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Te Wai Māori Trust (Te Wai Māori) was established under the Māori Fisheries Act 2004 (the Act). The Act states the “purpose of Te Wai Māori Trust is to advance Māori interests in freshwater fisheries...” through:

- undertaking or funding research, development and education
- promoting the protection and enhancement of freshwater fisheries habitat
- promoting the establishment of freshwater fisheries
- using resources to bring direct and indirect benefits to Māori in respect of their freshwater fisheries interests.

Te Wai Māori describes ‘freshwater fisheries’ as including the species, habitat, surrounding land, water column, and water quality and quantity. Sports fisheries or unwanted aquatic life or activities conducted under the Freshwater Fish Farming Regulations 1983 are excluded from this definition.

Advancing Māori interests in freshwater fisheries ultimately means enhancement or protection of freshwater species, habitat, water quality and surrounding land.

#### **Te Wai Māori’s core values are:**

- Te Mana o Te Wai (reflecting that freshwater ecosystems come first)
- Whakapapa (reflecting the connection between whānau, hapū and Iwi and the environment)
- Kaitiakitanga (reflecting whānau, hāpu and Iwi obligations as descendants of Papatūānuku)

These values represent the natural order of Te Wai Māori’s world view. First and foremost, we value freshwater and all that is encompassed in its ecosystems. The inherent right for water to exist in its own state.

Whakapapa recognises our interdependence which binds us as tangata whenua of the environment and kaitiakitanga, our obligation to care for Papatūānuku and ngā Atua that provide sustenance for our people.

These core values determine the way we approach our work and they define the way we behave.



## 2.2 The purpose of the guidelines

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The purpose of this document is to provide direction and guidance for Māori applicants seeking funding to carry out projects that advance their interests in freshwater fisheries and their habitats.

## 2.3 The Wai Ora Fund

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Te Wai Māori Trust established the Wai Ora Fund in 2012. Te Wai Māori administers and distributes the contestable fund to enable Māori to obtain funding and develop expertise to promote and advance Māori interests in freshwater fisheries through development, research and education.

Advancing Māori interests in freshwater fisheries means:

- Increasing Iwi and hapū capacity and capability in freshwater fisheries and their ability to exercise rangatiratanga over their freshwater fisheries.
- Promoting and sharing indigenous fisheries expertise, knowledge and understanding.
- Increasing the quality and range of information to Iwi and hapū on freshwater fisheries and their interests thereof.
- Enhancing the health and wellbeing of the indigenous fisheries and their environment

Te Wai Māori Trust is now seeking applications for the 2019 Wai Ora Fund. This year Te Wai Māori has again made \$250,000 available for the Wai Ora Fund. To date, there have been 35 projects funded by the Wai Ora Fund through Te Wai Māori committing funds of more than \$1.4 million.

Annual funding decisions are based on:

- Funding criteria
- Priorities identified by Te Wai Māori
- The quality of applications received

The quality of applications received and the quantity of funding sought by applicants will determine whether all the funds will be allocated in this round. Te Wai Māori will work with applicants if they consider a project has merit but the application requires further work before being considered by the independent assessment panel.



As in previous years, Te Wai Māori may award a lesser amount than that applied for. If this occurs, the Te Wai Māori team will work with the successful applicant to revise the project and budget.

The timing for this round of funding is:

- Funding round opens for applications on 1 March 2019
- Funding applications close 5 June 2019
- Te Wai Māori Board to consider applications/assessments and make final funding decision September 2019
- Decisions announced to successful applicants in September 2019
- Funding agreements completed in September 2019. Applications should be for projects that are intended to start on or after 1 October 2019.

All applications for funding must be completed using the application form available on Te Wai Māori's website [www.waimaori.maori.nz](http://www.waimaori.maori.nz). This will be available as of 1 March 2019.

We look forward to receiving and approving more excellent projects that will help Iwi and hapū fulfil their aspirations for their freshwater fisheries and help us to achieve our objective of advancing Māori interests in freshwater fisheries.

## 2.4 Background documents to support applications

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

- [Strategic Plan 2017-20](#)
- [Annual Plan 2017-18](#)
- [Māori Fisheries Act 2004](#)
- [Understanding Taonga Freshwater Populations in Aotearoa - a report prepared for Te Wai Māori by NIWA](#)
- [Other Wai Ora projects](#)
- [The Ministry for Primary Industry webpage on use of animals in research and testing](#)

These documents are available on Te Wai Māori's website [www.waimaori.maori.nz](http://www.waimaori.maori.nz) along with a list of previously funded projects.



## 3. Criteria for applicants and applications

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### 3.1 Guiding principles for Wai Ora Fund

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Guiding principles for the Wai Ora Fund stem from our values and the purpose and functions of Te Wai Māori:

- Protect
- Restore
- Health & Wellbeing
- Connect

The principles define the criteria and priorities for funding. Some of Te Wai Māori's criteria are mandatory, and others are intended to guide applicants in terms of Te Wai Māori's priorities for funding projects.

### 3.2 Criteria for applicants and applications

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Applicants must meet the following criteria before being considered eligible for funding:

- The Act specifies that Te Wai Māori distribute funds to the following groups:
  - Māori
  - Mandated Iwi Organisations
  - Other Māori organisations
- Applications must be for no more than \$50,000 + GST for the total project and must provide a minimum 20% contribution to the total project cost whether it be cash or in-kind (e.g. if your total project cost is \$60,000, at least \$12,000 (cash or in-kind) needs to be contributed by the applicant). Applicants must provide evidence of their contributions, be they cash or in-kind, with their application. Contributions can be "pending" at the time of application but must be confirmed before going to the panel for review.
- Projects must be focussed on one or more of the four guiding principles in relation to freshwater fisheries and their habitats.
- Applications must demonstrate that projects are technically achievable.
- Preference will be given to projects that describe their outcomes and key success factors. Project applications must show how monitoring against objectives will occur and how risks and their likely impact will be mitigated and addressed.



- Preference will be given to projects that achieve practical results over projects that are purely desktop exercises or are only for research purposes or planning (although this does not prevent research-oriented projects from receiving funding). Applications must describe how the project outcomes or methodology of the project are applicable for whānau, hapū and Iwi in other rohe to use.
- Applicants must show that the project has an outcome that will be maintained into the future without the need for ongoing funding from Te Wai Māori.
- Projects will not be eligible for funding if they have previously received funding through the Wai Ora Fund in three previous funding rounds. Applicants who have received funding previously for entirely different projects will be eligible.
- Funding will not be provided for:
  - a. Capital expenditure
  - b. Costs relating to motor vehicles and buildings
  - c. Costs relating to business operating expenses
  - d. Retrospective costs
  - e. Intellectual property royalties
  - f. Commercial ventures
  - g. Legal advice
  - h. Resource consents
  - i. Scholarships/PhD
  - j. Water Conservation Orders

### 3.3 General requirements

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As well as meeting the criteria above, all perspective applicants must meet the following criteria:

- GST – all funding applications must refer to GST exclusive figures.
- Health and Safety – all applicants must confirm that they understand and have procedures in place to meet their health and safety obligations in relation to the work for which the grant is sought.



- Animal Welfare Act Compliance (Ethics Approval) – projects that involve the handling of wildlife or research/testing on wildlife may be required to seek ethics approval from an animal ethics committee. Applicants whose projects involve such work must contact [animalwelfare@mpi.govt.nz](mailto:animalwelfare@mpi.govt.nz) with the details of the proposed work to confirm whether or not ethics approval will be required. Applicants must clearly indicate in their application whether their project requires ethics approval and if ethics approval is required, then applicants must provide evidence that their project has received ethics approval with their application.
- Funding Agreement – all successful applicants will be subject to the terms and conditions of the Wai Ora Funding Agreement. The Funding Agreement represents the agreement between Te Wai Māori and the recipient, and must include a detailed project plan including (but not limited to):
  - Deliverables (the identified outcomes of the projects)
  - Milestones and key activities to be undertaken to complete the project successfully and for which the reporting and invoicing will occur
  - Reporting requirements
  - A project budget including contributions from the Wai Ora Fund, cash, co-funders and in-kind contributors.
- A milestone table is included in the application form. Please ensure there is sufficient detail to enable Te Wai Māori to monitor progress and substantiate payments. Deliverables should be SMART: Specific – Measurable – Achievable – Realistic – Time-bound.
- Financial and reporting systems – Te Wai Māori require all applicants to maintain sufficient reporting to provide confidence that any funds awarded are used appropriately to achieve the objectives of their projects.



## 4. Priorities for funding

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### 4.1 Background

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In response to our 2016 Wai Ora Funding review and engagement with Iwi, hapū and whānau, Te Wai Māori has decided to review its funding priorities annually to ensure funding supports the Trust’s purpose and objectives.

The Act requires Te Wai Māori to take into account the extent to which applications for funding:

- assist in coordinating and consolidating the activities of recipients with the activities of agencies involved in freshwater fisheries and habitat management, and
- provide a model that can be applied by Iwi, hapū and whānau. Te Wai Māori must also consider the extent to which a proposed project is being undertaken by other Mandated Iwi Organisations or agencies and the extent the functions of Te Wai Māori under the Act are being undertaken by other agencies.

The following funding priorities will ensure Te Wai Māori awards funds in a fair and consistent way to projects that meet the requirements of the legislation but also lead to the most effective response for advancing Māori interests in freshwater fisheries.

### 4.2 Funding priorities

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The following are the areas Te Wai Māori is maintaining or giving increased priority to advance Māori interests in freshwater fisheries:

#### **Mātauranga Māori**

- Projects that recognise the important contribution of Mātauranga Māori to management and protection of freshwater fisheries and their habitats.

#### **Baseline information and monitoring**

- Projects that have a strong emphasis on Māori-driven cultural monitoring and research of taonga freshwater fisheries



- Projects that develop indicators, frameworks and tools designed with community/public use in mind to use across the country to systematically record, collate and report on the cultural health and wellbeing of significant sites, natural resources (e.g. cultural flows, plants) and environments (e.g. wetlands).

### **Native fisheries and habitat restoration**

- Projects that support and promote actions to improve the quality of freshwater and the state of rivers and estuaries as habitat for fish.

### **Partnerships**

- Projects that involve strong partnerships and collaboration.

### **Innovation**

- Projects that have the potential to develop a new approach or can create new and improved products, processes and services to addressing freshwater fisheries issues.

## **4.3 Funding priorities for Te Wai Māori include projects that:**

- Demonstrate support for Iwi, hapū and whānau to continue their exercise of tikanga, mātauranga and customary practices for piharau/kanakana.
- Provide a means of addressing key gaps in our knowledge and improve freshwater taonga species co-management (research needs pages 165-167 of '[Understanding Taonga Freshwater Populations in Aotearoa](#)' report).
- Monitor the health and well-being of taonga species populations using the potential indicators set out in Table 23 of pages 156-158 of the report '[Understanding Taonga Freshwater Populations in Aotearoa Report](#)'.
- Contribute to Iwi capacity building in freshwater fisheries.



- Protect and restore wetlands through:
  - native planting
  - improved hydrology
- Improve water quality in streams, wetlands, lakes and drains that flow into rivers and catchments.
- Encourage partnerships and collaboration e.g. support an initiative of an Iwi or hapū fisheries plan or where two or more Iwi or hapū work together on shared outcomes.
- Protect and restore native fisheries and their habitats, including improved migration corridors for native species, especially tuna.
- Benefit to Māori across two or more of the four well-beings: cultural – social – environmental – economic. Preference will be given to those projects that can demonstrate the potential benefits extend wider than the applicants and act as a catalyst that will enhance and extend the uptake of responsible freshwater fisheries management practices.
- Explore new approaches to addressing freshwater fisheries issues, including creating new and improved products, processes and services.

## 5. The application process

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### 5.1 Application form

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All applications for funding must be completed using the application form available on the Te Wai Māori website [www.waimaori.maori.nz](http://www.waimaori.maori.nz). Download and complete the application form including appendices. Save your completed application form as an electronic document using the applicant group name as the document name. Submit your application electronically by 5pm on 5 June 2019 to [info@waimaori.maori.nz](mailto:info@waimaori.maori.nz). Include your project title in the email subject line.

Applications received after the close off date will not be accepted. The Te Wai Māori team can help with applications and possibly meet with applicants before the close-off date. For more information, email [info@waimaori.maori.nz](mailto:info@waimaori.maori.nz).





## Costs

- Provide a budget that outlines all estimated costs (exclusive of GST amounts) of the proposed project, linking the costs to the tasks in the application. The maximum funding from Te Wai Māori is 80% of the total project budget. Identify any other sources of funding – confirmed funding from others is preferred and will give an application a higher weighting. The budget should include details such as hourly rates, travel costs, consumables, field work etc. Contributions can be “pending” at the time of application but must be confirmed before going to the Panel for review.
- For a contribution to count as “in-kind”, the contributor should incur actual and real costs resulting from their direct involvement in the project. This does not include undertaking activities that form part of their normal day-to-day duties. For in-kind personnel costings, reasonable local commercial rates should be used as a guide. Applicants must include evidence of contributions, be they cash or in-kind.
- 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.
- If someone with technical, scientific or professional expertise is willing to provide their time and expertise for the project as an in-kind contribution, it can be counted against the rate they would have otherwise charged.
- \$21 per hour (minimum wage plus overheads) for general labour, administration and those not covered above.
- Project support costs should be valued at the lower of actual cost or market value (e.g. cost of hire, workshop costs and catering).

## Risks and mitigation

- Identify potential risks of your project and proposed mitigation measures to ensure the project is successfully delivered to time, cost and requirements of the project as outlined in the proposal.

## Health and safety

- All applicants must confirm that they understand and have procedures in place to meet their health and safety obligations in relation to the work for which the grant is sought.



## Animal Welfare Act Compliance

- Animal Welfare Act Compliance (Ethics Approval) – projects that involve the handling of wildlife or research/testing on wildlife may be required to seek ethics approval from an animal ethics committee. Applicants whose projects involve such work must contact [animalwelfare@mpi.govt.nz](mailto:animalwelfare@mpi.govt.nz) with the details of the proposed work to confirm whether or not ethics approval will be required. Applicants must clearly indicate in their application whether their project requires ethics approval and if ethics approval is required, then applicants must provide evidence that their project has received ethics approval with their application.

## Organisation's relevant experience for the proposed project

- Outline the organisation's relevant experience for the proposed project.

## Referees

- Provide the contact details for referees or attach letters of support from referees who will be able to comment on the quality of relevant work previously undertaken or confirm other funding secured.

## Application Declaration Confirmation

- An authorised agent of the applicant group must submit the application to Te Wai Māori. The agent certifies that the information is true and correct and accepts that the assessment process is both relative and subjective and Te Wai Māori has the final decision authority.

## 5.3 Assessment criteria

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The assessment of all applications is based upon the information provided by the applicant in the application form.

Applicants are expected to identify and demonstrate how they meet the criteria for funding and how their project aligns with the funding priority areas set out in this guideline document.



The assessment criteria (and weighting %) are set out below:

**Advancing Māori interests in freshwater fisheries (35%):** through the enhancement or protection of freshwater species, habitat, water quality and surrounding land. Specific focus on:

- Mātauranga Māori
- Baseline information and monitoring
- Native fisheries and habitat restoration
- Partnerships
- Innovation

Refer to section 4 above.

**Benefits to Māori (25%):** projects need to demonstrate how they contribute to the four well-beings: cultural – social – environmental – economic of Māori and the wider community, both in the short and long term. The outcomes or methodology of the project need to be applicable for whānau, hapū and Iwi in other rohe to use, and the application needs to show how it will provide for this.

**Capability (25%):** projects need to demonstrate how applicants will deliver the outcomes of the project, indicate who is involved in the project and their relevant experience. Project applications must show how monitoring against objectives will occur and how risks, the likely impact (high, medium, low) and how they will be mitigated and overcome.

**Partnerships (15%):** preference will be given to applications that promote and support collaboration or partnerships with tangata whenua i.e. the project will support an initiative of an Iwi or hapū fish plan, or, where two or more Iwi or hapū work together on shared outcomes.



## 5.4 Application evaluation

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All applications are assessed by an independent assessment panel (the Panel) appointed by the Te Wai Māori Board. The Panel members have expertise across a range of applications we expect to receive. Conflicts of interest of Panel members and applications are managed as they arise. Below is the process followed before a project is accepted for funding:

- The independent panel considers applications and makes recommendations to the Te Wai Māori Board.
- Te Wai Māori Board considers recommendations and makes a final funding decision.
- Te Wai Māori Team work with the successful applicants to ensure a funding agreement is completed to our satisfaction.

## 5.5 Intellectual property (IP) and acknowledgement of source of funding

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The funding agreements include an IP clause requiring an unfettered licence which allows Te Wai Māori to use, copy and distribute any IP developed, discovered or created during the project on a non-exclusive, royalty-free basis. The clauses are part of the funding agreements because they ensure that activities Te Wai Māori funds are in line with Te Wai Māori's purpose and charitable status. Te Wai Māori is not able to provide private benefit to groups. Its functions need to benefit as wide a beneficiary group as possible.

Successful applicants must make any such IP available on request, and at no charge (except for such reasonable costs as may be approved by Te Wai Māori).

## 5.6 Reporting requirements

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The following reporting requirements are required:

- The grantee will provide written milestone reports and invoices according to the agreed dates within the agreement i.e. (Appendix 3, milestones).



- Claims for payments will be lodged as invoices against milestones and certified correct by the project manager and financial manager. Note: proof of expenditure must be available for performance validations and audit purposes but need not be submitted with a claim.
- The invoice must be a GST compliant tax invoice.
- Claims for payments must be supported by milestone reports lodged by the project manager on time. Final payment may be withheld until Te Wai Māori receives a satisfactory final report of achievements and accounts and the evaluation form has been completed and returned. Failure to comply with the contractual agreement may result in the withdrawal of funding support.

## 5.7 Post-project evaluation of successful projects

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Successful applicants will be required to complete an evaluation sheet at the end of the funded project. The aim of the evaluation is to:

- analyse to what extent the project has been able to achieve the project's goals,
- focus on other aspects such as the effectiveness, efficiency and sustainability of the project,
- create a picture of the project's impact,
- provide a resource for planning new projects and making funding bids for the applicant,
- assist Te Wai Māori to assess the effectiveness of its Wai Ora grants and spread the word about good ideas and successful projects; and
- inform Te Wai Māori's future funding plans.



## 5.8 Acknowledgement of funding

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Te Wai Māori must be acknowledged as a source of funding in all publications and publicity regarding grant funded projects. Te Wai Māori may specify the form and content of such acknowledgement. The Te Wai Māori logo should be used wherever possible.

Te Wai Māori will promote funded projects via social media, Te Wai Māori website, Annual Reports, Māori Fisheries Conference and other relevant publications and events.

For further information contact:

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