

THREE WATERS BETTER OFF GRANT FUNDING PROPOSAL: TRANCHE 1¹

Instructions to complete the Funding Proposal:

- The Funding Proposal is to be submitted through the DIA online Grant Management System. **To apply you will need access to this system.** Guidelines on accessing this system are provided in Appendix C of the guidance document *“Guide to better off package funding for local authorities”* found here: <https://www.dia.govt.nz/three-waters-reform-programme-reform-support-package>
- One Funding Proposal per Local Authority can be submitted for the total Tranche 1 Programme of Expenditure.
- Local Authorities do not have to apply for the full Tranche 1 notional amount upfront, funds not applied for in Tranche 1 will be available in the Tranche 2 application round.
- A Programme may consist of more than one Project or Initiative, and Local Authorities may elect to provide appendices with further details and breakdowns if that would assist in the approval process.
- The Programme may relate to expenditure over a period of up to 5 years.
- All figures in this Funding Proposal should be GST exclusive.
- A relationship manager will be available to support councils and can provide advice if the Local Authority has additional questions.
- Refer to the document *“Guide to better off package funding for local authorities”* which sets out the information needed for Local Authorities to engage with the Funding Agreements and the Funding Proposal template below.

The draft Funding Proposal can be submitted by the Local Authority any time between 4 April 2022 and 30 September 2022. The Funding Proposal will be assessed by the Department of Internal Affairs, who may provide feedback and require further detail, additions or alterations. The Funding Proposal is to be finalised, and Councils notified of the outcome within six weeks of receipt of the draft submission.

Where the Department of Internal Affairs requires any additional assurance or conditions for a specific Funding Proposal, this will be included in Question 17 below following the Department of Internal Affairs review. Question 17 will form part of the Funding Proposal.

¹ The \$2 billion ‘better off’ package is available in two tranches. The first \$500 million is available from 1 July 2022 and the remaining \$1.5 billion is available after 1 July 2024.

SECTION 1: General Information

1. Programme Title:

2. Local Authority:

3. Organisation Lead Contact:

| | |
|------------------|----------------------|
| Name: | <input type="text"/> |
| Position: | <input type="text"/> |
| Email: | <input type="text"/> |

SECTION 2: Programme of Expenditure Overview

4. Provide a brief description of the Programme of expenditure the funding will be applied to. If the Programme comprises more than one Project, or Initiative that you will be reporting on seperately, please list (add more rows if required):

| |
|--|
| <i>[description of Programme]</i> |
| List of Projects/Initiatives under this Programme |
| <input type="text"/> |
| <input type="text"/> |
| <input type="text"/> |

5. Total Maximum Amount Payable as defined and stated in the Funding and Collaboration Agreement (NZD \$):

\$

6. Total estimated cost of the Programme (NZD \$)?

\$

7. Of the total estimated cost above, specify the amount (if any) that will be allocated to general management oversight and other administrative costs.

| |
|-------------------------|
| \$ <input type="text"/> |
| <i>[description]</i> |

8. If the total estimated cost exceeds the Total Maximum Amount Payable, please specify the additional funding source(s) and amount(s):

| Funding Source | Amount (NZ\$M) |
|----------------------|-------------------------|
| <input type="text"/> | \$ <input type="text"/> |
| <input type="text"/> | \$ <input type="text"/> |
| Total | \$ <input type="text"/> |

9. Please indicate below the expenditure programme funding status:

| | Yes/No | Amounts in NZD \$ | Year |
|--|-----------------|-------------------|------|
| Included in LTP | Choose an item. | \$ | |
| Included in the latest Annual Plan | Choose an item. | \$ | |
| Not funded in any plan | Choose an item. | \$ | |
| Was funded but COVID-19 deferred | Choose an item. | \$ | |
| Local Authority co-funding being contributed | Choose an item. | \$ | |

10. Has the programme been submitted and reviewed through another contestable funding source? (such as the Infrastructure Acceleration Fund)

If Yes, please state the funding source and the stage of the funding process you reached below.

| Funding Source | Stage Reached |
|----------------|---------------|
| | |

11. Describe the risks you have identified in completing the programme on time and on budget (eg: availability of and access to specialist skills) and any steps/actions you have taken to mitigate these risks.

SECTION 3: Programme of expenditure details

12. Please provide a high-level breakdown of the expenditure programme, including the programme commencement and completion dates, key delivery milestones, and for each milestone the planned completion date and estimated cost:²

Milestones should reflect the progress of project delivery, and link to specific and measurable project outputs. Please refer to your relationship manager for guidance, and examples of output-based milestones.

If the funding package is to be used to fund multiple projects/initiatives, duplicate the table below for each project. The total of all projects must equal the Total Maximum Amount Payable per the Funding Agreement.

| | Expenditure Programme/Project Milestone (including a description of how the milestone is identified) | Estimated Completion Date | Estimated costs (NZD \$) |
|----|---|--|-----------------------------|
| 1. | Commencement Date per the Funding Agreement | dd-mmm-yy | Nil |
| 3. | [milestone 1] | dd-mmm-yy | \$ |
| 4. | [milestone 2] | dd-mmm-yy | \$ |
| 5. | [milestone 3] | dd-mmm-yy | \$ |
| 6. | [milestone 4] | dd-mmm-yy | \$ |
| 7. | [Completion of expenditure programme/project] | dd-mmm-yy <i>To be no later than 30 June 2027</i> | \$ |
| | TOTAL | | \$ |

² All figures should be GST exclusive.



CHECKS

| | |
|--|-----------------|
| Total maximum funding instalment amount per the Milestone Table(s) ³ is less than or equal to Total Maximum Amount Payable per question 6 | Choose an item. |
| Total budgeted costs to complete the expenditure programme per the Milestone Table(s) ⁴ is equal to the total estimated cost of the expenditure programme per question 7 | Choose an item. |

³ If the Milestone Table was duplicated to reflect multiple projects/initiatives, please add the total amounts across all tables when performing the checks above.

SECTION 4: Wellbeing Assessment

For this section, please refer to the document “Guide to better off package funding for local authorities” for guidance on conducting the wellbeing assesment.

13. Please set out how the expenditure programme promotes one (or more) of the key criteria of the better off package and the well-being of communities (social, economic, environmental, and/or cultural) in the table below. Add lines where necessary.

If the funding package is to be used on multiple project/initiatives, duplicate the table below in order to identify the wellbeing outcomes for each project.

| Programme Title | | | | |
|--|--|--|---|--------------------|
| Project/Initiative (if applicable) | | | | |
| Better Off funding criteria (select as many that apply) | Criteria 1: Supporting communities to transition to a sustainable and low-emissions economy. | Criteria 2: Delivery of infrastructure and/or services that enable housing development and growth. | Criteria 3: Delivery of infrastructure that support improvements in community well-being. | |
| Wellbeing Area (select as many that apply) | Social wellbeing | Economic wellbeing | Environmental wellbeing | Cultural wellbeing |
| Wellbeing Outcomes | | | | |
| Outcome | How Outcome will be Measured | | How Outcome will be Monitored/Reported | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |



SECTION 5: Iwi/Māori Engagement

For this section, please refer to the document "Guide to better off package funding for local authorities" for guidance on the Iwi/Māori engagement required to answer the following questions.

14. Describe the process you used to identify relevant iwi/Māori parties in your region, and specify which Māori groups / entities / organisations (eg, iwi, hapū, post-settlement governance entities, etc) you engaged with.

15. Provide details of the engagement you undertook with iwi/Māori in determining the use of the funding allocation. Include details regarding the methods of engagement (e.g. hui, wānanga, consultation on material, subsequent feedback).

16. Provide details of the ideas, suggestions, issues or concerns raised by iwi/Māori during your engagement process, along with the steps taken to address these.

SECTION 6: DIA USE ONLY

17. Additional requirements in respect of the Funding Agreement (such as specific conditions):