

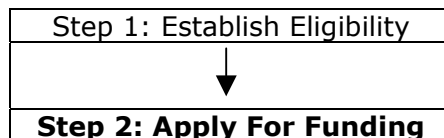


Applying For Funding

From

The Crown Forestry Rental Trust

This Information Sheet explains the requirements for eligible Māori claimant groups to apply for funding assistance from the Crown Forestry Rental Trust (Step 2 of the Trust's two-step application process, shown below).



Before applying for funding assistance, claimants need to establish their eligibility, covered in our information sheet: 'Establishing Eligibility For Assistance From The Crown Forestry Rental Trust.'

The Trust's Information Sheets are available:

- on our website - <http://www.cfrt.org.nz/storehouse/publications/>
 - by phoning us - (04) 915 1500
 - by calling at - Level 2, Vogel Building, 8 Aitken Street, Wellington.
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Contents

Who Can Apply For Funding Assistance?	2
How To Apply For Funding	3
Trust Requirements For Your Business Plan	3
How The Trust Assesses Your Business Plan	4
What Assistance Can You Apply For?	5
Include Fundable Activities And Estimated Costs In Your Business Plan	5
Fundable Activities For Claimants On The Waitangi Tribunal Pathway	6
Fundable Activities For Claimants On The Direct Negotiations Pathway	6
Activities Not Funded By The Trust	7
The Contracting Process	7
The Contract Document	7
Trust Designates A Contract Manager	8
How The Contract Is Negotiated	8
How We Monitor Contract Performance	9
Business Plan Template For Applications For Funding From The Crown Forestry Rental Trust	10

Who Can Apply For Funding Assistance?

To be eligible for Trust assistance, you must both:

- Be a Māori claimant group with Waitangi Tribunal claims, which involve, or could involve, Crown forest licensed land, and
- Meet the Trust's eligibility requirements, detailed in our information sheet, 'Establishing Eligibility For Assistance From The Crown Forestry Rental Trust.'

Claimants groups that have successfully established eligibility may then apply for funding assistance from the Trust.

How to apply for funding is detailed in the following pages.

How To Apply For Funding

In practice, your application for funding will comprise a business plan setting out the intended work as well as a detailed budget, which must meet the Trust's requirements for funding to gain approval.

Step 2: Apply For Funding

Requirement: Present An Approved Business Plan

- Demonstrate your group's business plan meets the requirements of the Trust.

If your business plan has been approved, the next step is to sign a formal contract with the Trust.

No funding assistance will be provided by the Trust until a formal contract has been signed between the Trust and the claimant group.

Trust Requirements For Your Business Plan

What we mean by 'business plan' is a document, compiled by claimants, outlining the intended scope, budget and outcome of the settlement-related activity or activities for which you are seeking assistance from the Trust.

The business plan sets out the work the claimant group wants to achieve to get to the next stage of settlement. It is the claimant group's plan, not the Trust's plan. Its main purpose is to assist your claimant group to achieve progress towards settlement.

However, we also use your business plan to determine the level of funding and other assistance we will offer you and contract with you to deliver.

The business plan does not need to cover the whole settlement process. Instead, we require your business plan to cover what, who, when and how to complete the identified stage of settlement for which you are seeking funding. It must be comprehensive, realistic and achievable in the timeframes proposed.

Business Plan Template

You'll find a business plan template at the rear of this information sheet, which will help you to prepare your business plan to meet our requirements. This template sets out the areas of the business plan that the Trust is concerned with, and the requirements you need to meet before we agree to fund your planned activities.

A sound business plan may include elements, explanations or areas that are not directly relevant to the Trust concerns. Therefore, the Trust does not necessarily require that you follow our business plan template exactly.

Support In Preparing Your Business Plan

Preparation of the business plan is ultimately the applicants' responsibility. However, the Trust will support you through the development process.

Assistance or advice on preparing business plans is available from other organisations also. For example, BIZinfo (The Business Information Service for New Zealand) has information available and runs free or low cost courses on preparing a business plan (see [www. http://www.biz.org.nz](http://www.biz.org.nz)).

More information about the activities the Trust is prepared to fund, is on pages 5 – 6 of this information sheet.

How The Trust Assesses Your Business Plan

To be approved, your business plan must be assessed by the Trust as:

- comprehensive
- realistic
- achievable
- meeting the Trust's policies in terms of eligible activities and cost levels.

Please note that approval by the Trust does not mean automatic acceptance of your entire business plan.

Once approved by the Trustees, the business plan forms the basis for negotiating a funding contract between the Trust and the claimant group. What is finally agreed in the contract may differ from your original business plan.

What Assistance Can You Apply For?

The Trust provides assistance to claimants to prepare, present and negotiate claims, which involve, or could involve, Crown forest licensed lands before the Waitangi Tribunal or through the direct negotiations process managed by the Office of Treaty Settlements ('OTS').

The Trust provides assistance primarily by:

- providing advice on all matters concerned with these processes
- funding specific settlement-related activities necessary for these processes
- planning and funding any research that is required.

Trustees define criteria for the activities and costs the Trust will fund ('fundable activities') and the manner in which claimant groups will be funded. All assistance must be within the terms of the guiding Trust Deed.

Include Fundable Activities And Estimated Costs In Your Business Plan

In preparing a business plan to comply with Step 2 of the Trust's two-step application process, your claimant group should include relevant fundable activities with estimates of the reasonable costs.

Trust Facilitators will assist claimant groups in identifying reasonable cost estimates of approved activities. These estimates will be independently evaluated by a Trust Assessor for compliance and validity.

The Trust will fund claimant activities only up to levels that Trustees have approved as reasonable for all groups.

Claimant groups should not assume that they will be funded to the maximum Trust level for any particular activity or that the Trust will always meet the full costs of an estimated activity. The size and scope of individual business plans vary, and the Trust will take this into account in funding decisions.

Trust funding levels are:

- determined by Trustees
- based on actual and reasonable costs from recent claimants' experiences
- reviewed by the Trust periodically.

Fundable activities for claimants on both the Waitangi Tribunal and Direct Negotiation pathways are listed on the following pages of this information sheet.

Fundable Activities For Claimants On The Waitangi Tribunal Pathway

The following are the cost areas of fundable activities for claimants on the Waitangi Tribunal pathway. Include in your business plan the relevant fundable activities that fall under these cost areas:

- administration contribution
- catering
- venue hire
- accommodation
- travel
- historical research
- mapping
- oral and traditional research
- witness costs
- communications
- site visits
- hearing hosting.

More information is available from Trust Relationship Managers and Research Facilitators.

Fundable Activities For Claimants On The Direct Negotiations Pathway

The following are the cost areas of fundable activities for claimants on the Direct Negotiations pathway. Include in your business plan the relevant fundable activities that fall under these cost areas:

- administration contribution
- governance contribution to post-settlement entity development and implementation
- project management
- consultation/communications
- negotiators costs
- specialist advice
- development of deed of mandate
- research
- oral and traditional research

More information is available from Trust Relationship Managers and Research Facilitators.

Activities Not Funded By The Trust

The Trust **does not** fund any of the following activities:

- legal costs (claimants can apply to the Legal Services Agency for assistance with legal costs – see www.lsa.govt.nz)
- capital establishment / infrastructure development (Setting up offices)
- non-settlement related activities
- any costs for approved activities incurred **before** the signing of a contract
- activities not included in the scope of a signed contract.

The Contracting Process

Once your claimant group's business plan has been approved by Trustees for funding, the Trust will begin contract negotiations with the group.

While your original business plan establishes your work programme and is the starting point for the negotiating the contract, what is finally agreed in the contract may differ from the original business plan.

The Contract Document

The contract establishes both the Trust's and the claimant group's legally enforceable obligations to each other. The contract document comprises all the following:

- the Trust's 'Contract for Funding' (standard contractual terms)
- the claimant group's final business plan (which may differ from the original business plan first submitted to the Trust)
- milestone(s) schedule
- payment schedule(s)
- declaration of compliance to the overall Contract

The milestone schedule will clearly define:

- the overall objective of the plan
- each activity within a milestone
- the timeframe to complete the activity
- expected quality standards for the measurement of the activity.

The payment schedule records the total contract funding from the Trust, and the instalments for each milestone. Instalments are paid only on commencement of the contract (if agreed during negotiation) and at the completion of each milestone to a satisfactory standard.

All payment details must be based on the agreed costs for each activity. Frequency and amounts will be based on the Trust's financial policies.

Trust Designates A Contract Manager

One of the Trust's Relationship Managers will be designated as a contract manager responsible for:

- negotiating a contract of assistance between the Trust and the claimants
- handling the day to day administration of the contract
- managing the relationship between the two contracting parties
- monitoring that activities are being delivered as agreed.

How The Contract Is Negotiated

The draft contract is negotiated by the claimant group and the Relationship Manager.

Negotiations allow both parties to set out the parameters within which the contract will operate. These parameters include:

- what the roles and responsibilities of both parties are
- what the Trust will fund and to what level
- what measurements will be put in place to ensure that these activities are completed.

Negotiations will cover the quality, quantity and timeline expectations of the work being undertaken. These are referred to in the contract as the business plan and milestones.

After successful negotiation, the Relationship Manager will prepare the contract for signing by both the claimant group and Trust.

How We Monitor Contract Performance

The Trust will have an ongoing role in managing and monitoring the contract once it is signed. Managing and monitoring the contract will involve the following:

Monitoring (and verifying) delivery against the contract.	This includes reviewing the reports from claimant groups at the end of each milestone, which contain information about performance progress and financial expenditure to the business plan.
Approval of payment once milestones are met.	This includes making the payment to the claimant group according to the contract.
Ongoing relationship management.	This includes providing feedback to the claimant group following each milestone report.
Enforcement of compliance to the contract.	This includes exercising the right to terminate the contract, where necessary.

Monitoring the contract provides a basis for:

- assessing whether the claimant group has delivered what it was contracted to deliver
- accounting for funding
- determining future assistance to the claimant group
- making decisions about how to proceed at the conclusion of the contract.

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Business Plan Template For Applications For Funding From The Crown Forestry Rental Trust

Section 1: Introduction to the Organisation

This section should set out the organisation's Statement of Intent¹ or its mission and vision statement. If available, the Trust is also interested in knowing how this is broken down into:

- long-term strategy goals (e.g. past settlement)
- medium-term strategy goals (e.g. to settlement)
- short-term goals (e.g. this plan).

Section 2: Implementation of Goals (planning)

Section 2 of the business plan is about planning. It should set out what, who, when and how to complete the identified stage of settlement. The plan is not intended to cover the entire settlement process.

1. Briefly describe the overall goal of the business plan in terms of the settlement process and what will be achieved when the plan is completed:

2. Briefly describe the plan, including the milestones and activities within these milestones, and how these will advance your settlement progress:

3. State the overall plan start date and end dates:

¹ The statement of intent defines the outcomes and sets out a plan of activities the organisation wishes to achieve over the period, the processes it will use and the measures of performance and progress towards outcomes. Therefore, it outlines the strategic direction of the organisation.

4. Set out each individual milestone and its activities, including performance criteria, timing and resources required to complete the project². See the following example for guidance.

Example Milestone And Activities

<p><i>Description of milestone:</i> All oral traditional history to be transcribed and prepared for presentation to the Waitangi Tribunal</p>
<p>To be completed before: 6 November 2004</p>
<p><i>Performance criteria:</i></p> <p>Oral traditional history will have been collated once it has been transcribed from the following six people:</p> <ul style="list-style-type: none"> ○ [name 1] ○ [name 2] ○ [name 3] ○ [name 4] ○ [name 5] ○ [name 6]. <p>All information transcribed has been recorded and prepared in either reports or oral presentations.</p> <p>The reports and presentations have been reviewed and approved by the claimant group.</p>
<p><i>Resources required for completion of the milestone (this should include human resources or any other resources required):</i></p> <p>A researcher to be appointed to transcribe and present oral traditional history. [Name 1] will review and approve the first draft of the reports prepared by the researcher.</p>

² A milestone is an action, the completion of which materially contributes to achievement of the project. Milestones must include performance criteria that can be evaluated for achievement, and a completion date.

Section 3: Communications strategy

Briefly describe the communications plan to inform, and where necessary, achieve agreement/mandate with members of the claimant group for this stage of the settlement process. Communications activities can be set out as separate milestones or within existing milestones.

Section 4: Risk Management

1. Describe the barriers and risks to the organisation achieving its goals and how the risks identified can be avoided or mitigated.

Example Format For Risk And Mitigation

Risk Identified	How it could be avoided or mitigated

2. Describe how the group will identify and manage other barriers and risks that arise in the course of implementing the business plan. For example, a risk assessment and review could be built in as a milestone activity.

Section 5: Budgets and Costings

Set out a budget showing overall forecast income and expenditure, consistent with the business plan and clearly identifying the costs sought from the Trust for each activity.

Fundable activity cost areas are shown on page 6 of this information sheet.

Trust Relationship Managers can provide you with a Budget Template on request.

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