



CDEM Resilience Fund

Information for the CDEM sector [IS 16/21]



**National Emergency
Management Agency**
Te Rākau Whakamarumarū

New Zealand Government

CDEM Resilience Fund

Information for the CDEM sector [IS 16/21]

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Foreword

This Information Series document has been prepared to help groups apply for emergency management preparedness grants under the Civil Defence Emergency Management (CDEM) Resilience Fund.

Emergency management preparedness grants have been available to local authorities to promote resilience for many years. I'm pleased that over time the Fund has been put to good use by many CDEM Groups. Feedback has been very clear that many very successful projects may not have gone ahead had it not been for the fund.

The process has been recently re-assessed to ensure we're leveraging the fund to its best effect. This document introduces some small changes made following this review to allow us to focus investments to the objectives of the National Disaster Resilience Strategy.

While initiatives now need to be endorsed by the respective CDEM Groups, we do not expect Groups to lead all projects themselves. It is however important that funding allocations from the fund fit with CDEM Groups' own trajectories.

NEMA needs to continue to invest wisely in initiatives that increase New Zealander's hazard risk resilience. I encourage anyone with a good idea to promote New Zealand's resilience to hazard risks, particularly those with an emergency management focus, to work with their CDEM Group to consider making an application for support from the CDEM Resilience Fund.



Gary Knowles

Director of Civil Defence Emergency Management

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Section 1 Introduction

1.1 About this document

The **purpose** of this document is to inform potential applicants of:

- the key terms used.
- the history of the Fund and its the purpose, key themes and criteria
- the process for applications; and
- the process and expectations for reporting, project evaluation and invoicing.

An application form and report templates are also included.

The **intended audience** of this document is any person or organisation (that meets the eligibility criteria) considering applying to the National Emergency Management Agency (NEMA) for project funding.

1.2 Key terms

This section describes some of the key terms used in this guideline.

CDEM Resilience Fund Coordinator

The CDEM Resilience Fund Coordinator is a NEMA staff member who oversees the CDEM Resilience Fund. They support applicants through the application process, help with the review and selection process, monitor progress and support invoice payments and project evaluation.

Chief Executive sign-off

The Resilience Fund Application form, Acceptance form and Project reports (quarterly and final) will need to be signed off by the Chief Executive (or Head) of the organisation receiving the funding. The Chief Executive is accountable for successful delivery of the project.

Project manager

The project manager will be the primary point of contact. They are directly involved in the delivery of the project and are accountable for the project outcomes.

Key and tangible milestones

A key milestone is a point in a project that marks progress. For example, a key person in the project is employed or designs are completed.

A tangible milestone is a point in the project where if nothing else happened, there will still be something tangible for the money spent. For example, received products, completed a survey or commissioned equipment.

Tangible milestones are potential triggers for payment.

Section 2 Background

This section describes the history of the CDEM Resilience Fund (the Fund), and the underlying principles and allocation preferences.

2.1 History and Background

Origin of the fund A civil defence subsidy was introduced by the Government in 1966 to support local authorities develop CDEM capability. The original intent was to increase the number of civil defence officers across the country.

Expenditure reimbursement Before the 2010/11 financial year, the subsidy was provided as a pro rata reimbursement to local authorities for direct operational costs of civil defence emergency management. For the 2009/10 financial year, a total of 4.3 percent of total expenditure claimed was refunded (GST exclusive).

A number of shortfalls were identified with this method. With the funding untargeted, there was no link to CDEM-focused outcomes or certainty that the funding would support capability development rather than be absorbed into local authorities' funding. The allocation of funding on the basis of expenditure also led to a higher proportion of the subsidy going towards larger councils rather than councils who are less able to allocate resources towards their CDEM responsibilities. There was no assurance that the expenditure represented by the subsidy was providing the Government with the best value for its money.

Contestable fund A NEMA review identified that a more collaborative model would better use the funds to develop resilience. In December 2009, the Minister of Civil Defence approved a change in the allocation criteria for the subsidy. It became a 'contestable' fund and NEMA developed criteria in consultation with the sector.

Change in scope Lessons were identified in an assessment of the 2013/14 projects. NEMA discussed opportunities for improvement with the CDEM Groups; a subsequent change let projects be submitted and managed by other entities as well as local authorities.

NEMA began an external review of the Fund in September 2020; a joint working group of NEMA staff and CDEM Group representatives reviewed recommendations. The Chief Executive of NEMA agreed the Fund's principles and allocation preferences as follows:

Principles:

- NEMA provides leadership (i.e. consults with CDEM Groups but decides on annual investment focus and prioritisation, driven by the National Disaster Resilience Strategy (NDRS) objectives)
- A fair and transparent applications-based process, with allocation decided by NEMA
- The Fund is available to CDEM Groups, other organisations and individuals; all applications must have CDEM Group endorsement/sponsorship
- CDEM Groups monitor projects
- A local/regional focus (i.e. not complex, multi-region / national)
- Values the role of Māori in the emergency management system
- Applications allow for NEMA involvement if it is required

Allocation Preferences:

- Aligns with National Disaster Resilience Strategy (NDRS)
- Achieves equity of outcomes for Māori communities, marae, hapū, iwi and Māori organisations
- Outcome focused (will make a material difference)
- Applicable in other regions / CDEM Groups
- Supports national consistency
- Wider funding / resource commitment (i.e. co-funding, ongoing funding committed)
- Builds on existing work
- Operational expenditure (Opex) is preferred but Capital expenditure (Capex) is not excluded

Section 3 Purpose

3.1 Purpose of the Fund

Purpose	<p>The purpose of the CDEM Resilience Fund is to enhance New Zealand’s hazard risk resilience through the development of local and regional capability and practices. The Fund aligns with CDEM Group Plans and the National Disaster Resilience Strategy (NDRS) priorities.</p> <p><i>“Managing risks: what we can do to minimise the risks we face and limit the impacts to be managed if hazards occur;</i></p> <p><i>Effective response to and recovery from emergencies: building our capability and capacity to manage emergencies when they do happen; and</i></p> <p><i>Enabling, empowering, and supporting community resilience: building a culture of resilience in New Zealand so that everyone can participate in and contribute to communities’ – and the nation’s – resilience.”</i></p>
Allocation	<p>The Fund is allocated by the Director of Civil Defence Emergency Management (the Director) with guidance and advice from NEMA subject matter experts.</p>
Key themes	<p>NEMA may consult with CDEM Groups on key themes alignment with the NDRS. This helps the Fund be consistent with high level needs identified by the sector.</p>
Eligibility criteria	<p>While any agency or individual can apply to the Director for project funding, there are eligibility criteria that will be considered. All applications must be endorsed or sponsored by the relevant CDEM Group.</p> <p>Eligibility considerations:</p> <ul style="list-style-type: none">• Projects are aligned with the NDRS.• Projects will achieve equitable outcomes for Māori communities, marae, hapū, iwi and Māori organisations.• Projects are outcome focused. They will make a material difference.• Outcomes will be applicable across regions / CDEM Groups and projects will be delivered under Creative Commons licence.• Projects build on existing work to support national consistency.• Projects and outcomes will not be used in commercial products or services.• Projects are achievable within one year. Applications with a project life of up to three years may be submitted with the support of a proportionate number of CDEM Groups. NEMA discretion and annual funding availability will apply.• Projects can leverage funding and in-kind contributions from other sources.• Operational expenditure (Opex) projects are preferred but Capital expenditure (Capex) is not excluded.

Project areas that do not qualify

Project areas that do not qualify for funding include:

- emergency response and recovery costs
- ongoing operational maintenance and depreciation costs
- ongoing support of existing activities
- debt repayment, re-financing existing loans, insurance
- property management
- retrospective or back-dated costs
- projects that restrict intellectual property
- participation in statutory processes or litigations; and
- activities that are the responsibility of other government organisations.

Section 4 Application and review process

This section describes the application and review process, including:

- submitting an application
- assessment of applications (including scoring criteria, moderation, and recommendations to the Director), and
- application status notification.

Annual timeline for applications

While applications can be received at any time, Figure 1 and the following sections describe an expected review period.

Submitting an application:

- Deadline for applications is 31 January

Application assessment:

- Completed applications with sign-off from all relevant parties sent to NEMA
- Final assessment completed by the NEMA Review Panel

Notification:

- 31 March
- Notification letters of NEMA's decision sent
- Letters of approval signed by NEMA and relevant parties

Project commencement:

- Projects to start on 1 July of the calendar year it is approved.

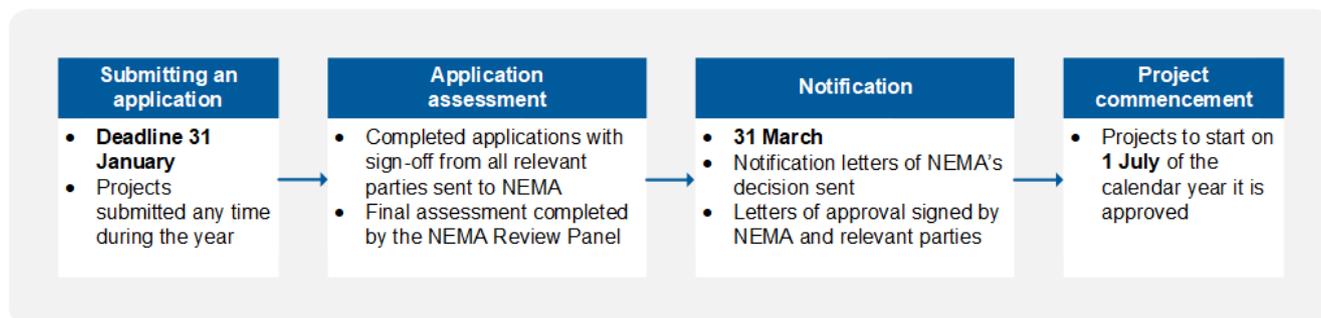


Figure 1 Annual timeline for applications

4.1 Submitting an application

Application form	Section 6 Appendix A Resilience Fund Application Form on page 20 should be considered the minimum information required to support an application. Applicants are encouraged to provide as much information as necessary, in whatever form is appropriate, to support the application. The Application form must be completed correctly and signed by the Chief Executive and CEG Chair. The deadline for submitting an application is 31 January.
CDEM Resilience Fund Coordinator	Potential applicants may discuss their project with NEMA's CDEM Resilience Fund Coordinator through the address below. The Fund Coordinator will provide guidance on: <ul style="list-style-type: none">• key themes and eligibility criteria• the process for applying, and• the timeline for approvals and project commencement. If a project does not meet the key themes or eligibility criteria, the Fund Coordinator may be able to recommend other funding options.
Address for applications	Applications, reports and communications should be submitted to: Resilience.Fund@nema.govt.nz NEMA will acknowledge receipt of all applications submitted as soon as practicable.
Further information	Applicants may need to provide further information or clarification to support their application.

4.2 Assessment of applications

Regional Emergency Management Advisors	The NEMA Regional Emergency Management Advisors responsible for the relevant CDEM Group will assess the application from a regional perspective.
Subject matter experts	NEMA subject matter experts will review each application to: <ul style="list-style-type: none">• provide independent feedback on projects, and• use expert knowledge where the broader context of an application may not be evident.
Review Panel	The final assessment is conducted by a review panel that is chaired by the NEMA Manager, Regional Partnerships and consists of at least one other NEMA Tier 3 manager, and at least one NEMA Tier 4 manager. The panel is supported by the Fund Coordinator.

4.2.1 Scoring criteria

Scoring criteria

The criteria in Table 1 are scored 'yes', 'no', or 'maybe' by the Review Panel and the criteria are weighted according to relative importance.

Criteria	Yes	No	Maybe
Aligns with the NDRS and key focus areas identified by NEMA			
Achieves equity of outcomes for Māori communities, marae, hapū, iwi and Māori organisations			
Outcome-focused			
Applicable in other regions / CDEM Groups			
Supports national consistency			
Wider funding / resource commitment			
Builds on existing work			
Operational expenditure (Opex)			

Table 1 Scoring criteria

Each of the criteria is described below.

Aligns with the NDRS

Projects should have a demonstrable connection to the NDRS and with key focus areas identified by NEMA.

Achieves equity of outcomes

Projects should consider and demonstrate equitable outcomes for Māori communities, marae, hapū, iwi and Māori organisations.

Outcome-focused

Projects should make (or contribute to) a material difference to communities or organisations. If a project is intended to scope a larger project that will make a material difference, the scoping project also makes a material difference.

Applicable in other regions/CDEM Groups

Projects that benefit several CDEM Groups promote consistency and cooperation.

Supports national consistency

Projects provide or comply with a national standard or methodology. Projects promoting national consistency will likely involve NEMA staff to support endorsement of the project outcomes.

Wider funding / resource commitment	Projects that leverage funding from other sources and that use the Fund to kick start funding will be favoured. Contributions in-kind may also be considered to be co-funding. There must be a commitment to meet any ongoing costs.
Builds on existing work	Projects build on existing work and align with the key themes and eligibility criteria.
Operational expenditure (Opex)	Operational expenditure projects are preferred over capital expenditure as capital expenditure projects. Capital expenditure has limitations on providing value nationally. However, capital expenditure that demonstrates wider benefit may be considered.

4.2.2 Interviews

Applications over \$100k	<p>Interviews will only be required (at NEMA's discretion) for projects that exceed \$100k over the life of the project. Applicants can request an interview when making their application if this threshold is met.</p> <p>The Fund Coordinator or a member of the Review Panel can also ask for an interview.</p> <p>Any costs associated with presenting an application to the Review Panel are the responsibility of the applicant.</p>
Interview format	<p>Interviews will be held in an 'open forum' with members of the Review Panel. Other applicants and participants may also be present. Applicants will have an opportunity to present further details and information to the Review Panel.</p> <p>Interviews may be face-to-face, by teleconference or by video conference.</p>

4.2.3 Moderation

Master scoring sheet	<p>The Review Panel will discuss each application and reconsider initial assessments. They will agree their final score for each criteria and these will be recorded in the master scoring sheet.</p> <p>The master scoring sheet will provide the first prioritised results of the moderated assessment of applications.</p>
Reasonable	The Manager, Regional Partnerships and the Fund Coordinator will review the prioritised applications to see if the results seem 'reasonable'. A 'reasoned position' will be applied; therefore some projects that scored below the threshold may be increased in ranking. A balanced allocation of funding will also be considered.

4.2.4 Recommendations

Recommendations to the Director The Fund Coordinator will give a summary report to the Director. The report outlines the results and the justification for the reasoned position of the applications.

The Director may have further questions that need to be answered by the Fund Coordinator, Review Panel or applicant before final approval.

When satisfied, the Director will approve projects for funding.

4.3 Notification

Notification and letter of agreement Once final decisions have been made, applicants will be notified of the decision by 31 March so that projects can start on 1 July.

If a project has been unsuccessful, a letter will be sent to end the process for those applicants. If a project has been approved, letters of agreement between the Director and the contracting agency will be signed.

Provisional approval The letter of agreement will refer to 'provisional approval'. As the announcements regarding Resilience Fund projects are made before Crown approval of the Budget, it is not possible to guarantee funding. Provisional approval allows successful applicants time to further plan the delivery of their project. It is also a useful indication that the project is supported by NEMA.

Appeals The final decision on funding lies with the Director and the decision is final.

Section 5 Reporting, payment, and evaluation

This section describes:

- quarterly and progress reports
- project evaluation
- the final project report
- the payment process, and
- publication.

Reporting and project finalisation

Figure 2 and the following sections describe the reporting and project finalisation process.

Reporting:

- Projects under \$50,000 – a six-monthly and final report
- Projects over \$50,000 – quarterly and final reports

Project evaluation:

- Project manager initiates project evaluation once project is complete
- NEMA Evaluator appointed to evaluate project

Final report:

- Final report to be submitted to the Director within one month of completion of the project

Payment process:

- When completing milestones and reports, invoices should be sent to NEMA along with supporting documentation for consideration and payment

Publication:

- Milestones or outputs must be made available for general use

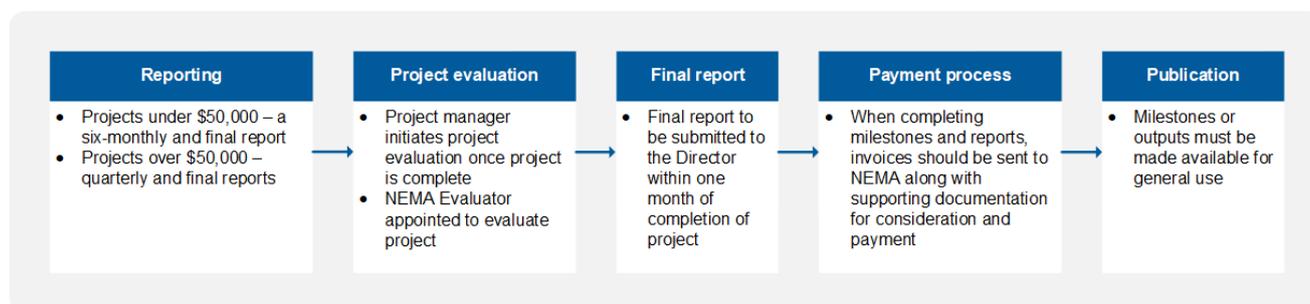


Figure 2 Reporting and project finalisation

5.1 Quarterly and progress reporting

For projects over \$50,000, quarterly progress reports must be prepared by the Project Manager and submitted to the Fund Coordinator. A one-year project should have three quarterly reports (31 October, 20 December, 31 March) and a final report (31 July).

For projects under \$50,000, a six-monthly progress report (20 December) and a final report (31 July) must be submitted to the Fund Coordinator. See Appendix B [Report Template](#) on page 25.

The report template has the minimum information needed to keep the Director informed on the progress of the project. Additional information may be submitted. Project managers are also encouraged to contact the Fund Coordinator to discuss issues and opportunities. This may include opportunities for the Director or NEMA to engage with the project at key and tangible milestones.

Milestones

Key and tangible milestones should be identified in the project scope and reported against to demonstrate progress. Tangible milestones are potential triggers for part payment.

5.2 Evaluation

Initiating evaluation

Once the project is complete and all invoices have been received by the project manager, a project evaluation should be initiated. This is the responsibility of the project manager. Close liaison with the Fund Coordinator will ensure that evaluations are timely to avoid delay in final payment.

The project evaluation will be in three parts.

1. Success against the project scope
2. Financial acuity
3. Commentary for the Director and Review Panel.

Evaluator

An evaluator will be appointed by NEMA. This may or may not be the Fund Coordinator.

Cost of evaluation

The cost of evaluating the project will be considered by the Fund Coordinator and added to the total cost. The cost of evaluation does not need to be included in the funding application.

Successful evaluation

Final payment will be approved when:

- the project is evaluated
- milestones are confirmed
- invoices are audited, and
- a satisfactory final report is received.

The evaluation report and final project report will be submitted to the Director and the Review Panel.

Additional time or work

When additional time or work is needed to complete the project, the Fund Coordinator and project manager will agree on the time or scope of work needed.

5.2.1 Final report

A final report must be prepared for submission to the Director within one month of completion of project. Final payment will only be approved after the project is evaluated and the Director has received a satisfactory final report.

Report content

The report should include project details that will help people considering a CDEM Resilience Fund project. The final report should:

- identify the purpose and intended outcomes
- detail the successes and challenges of the project
- describe the product(s) of the project and how they were developed
- describe the management arrangements, processes for project management, staff and other expertise involved in delivery (including a list of suppliers)
- describe the funding arrangements and details on how the budget was spent (a table of revenue and expenditure)
- explain where/how products and materials can be acquired
- describe lessons identified during the project; and
- detail any ongoing costs, how this will be funded and by who.

Note: NEMA will not be a funder of ongoing costs

It can also be good to include photos, news clippings, media engagement, a copy of the resources produced and feedback.

5.2.2 Payment process

Quarterly payments

Payments will generally be made on a quarterly basis (or six monthly for projects under \$50,000), against tangible milestones, or at the end of the project.

If quarterly payments are required, a copy of the invoice should be attached to the quarterly progress report. The report and invoice should be emailed to Resilience.Fund@nema.govt.nz.

Tangible milestone(s) against which payments are made need to match those in the project scope.

If the payment of salaries has been approved as part of the project, quarterly reimbursement of salaries may also be approved.

Final payment

As the project ends, there will need to be close liaison with the Fund Coordinator to ensure that the final report, evaluation of the project and invoice payment can be completed. Final payment will not be made until the project is successfully completed. NEMA will perform a project evaluation once a satisfactory final report is submitted.

5.3 Publication

Milestones or outputs must be available for general use. In many cases, this will mean making these available online. If hard copies were produced as part of the project, the templates or plans must be available. Details of suppliers used for hardcopy production or manufacture should also be available online.

A copy of the final report must also be available online. A copy of the final report and a link to project outcomes will be available on civildefence.govt.nz.

Section 6 Appendices

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Appendix A Resilience Fund Application Form

This form provides the minimum information for the application. A detailed project plan should be developed to inform this application and may be attached.

Project title	
Date of application	
Details on application	
Applicant <i>[CDEM Group must endorse/sponsor all applications]</i>	
Sponsoring CDEM Group	
Other local authorities, Groups or organisations supporting this proposal	
Project description	
Executive summary <i>[200 words maximum]</i>	
Challenge/opportunity <i>[200 words maximum]</i>	
Alignment with priorities and objectives of the National Disaster Resilience Strategy (NDRS) <i>[200 words maximum]</i>	

Alignment with Principles and Allocation Preferences <i>[200 words maximum]</i>		
Application of outcomes/benefits to sector <i>[200 words maximum]</i>		
Ongoing costs (post-project) and how it will be funded <i>[200 words maximum]</i>		
Project design		
Project manager		
Other project members		
External providers/contractors		
NEMA resource (if needed)		
Deliverables <i>[Note: payments will be made after successful completion of milestones identified]</i>		
Key milestones	Date for completion	Cost (invoice amount)
		\$
		\$
		\$
		\$

Identified risks			
Risks	Suggested mitigation / management		
Funding request and use			
CDEM Resilience Fund contribution	\$		
Local authority / organisation contribution	\$		
Other sources of funding or support			
Budget <i>[please supply spreadsheet]</i>	\$		
Applies if application exceeds \$100,000 over the life of the project	Are you prepared to attend an interview in support of this application (if needed)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Application confirmation			
Is this application from an individual or other organisation		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Does the CDEM Group support this application? <i>[sign off below confirms support]</i>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Approval of Chief Executive [Chief Executive or Head of the organisation receiving the funding]			
	Name:		
Approval of CEG Chair			
	Name:		
All communications regarding the application, including approval decisions will be addressed to the Chief Executive and CEG Chair			
CDEM Group comment			

Note: Only complete forms will be considered for assessment. All completed forms and supporting documents must be emailed to NEMA at resilience.fund@nema.govt.nz

NEMA Assessment [internal use only]		
Principles	Yes	No
Local / regional focus	<input type="checkbox"/>	<input type="checkbox"/>
Values the role of Māori in the Emergency Management System	<input type="checkbox"/>	<input type="checkbox"/>
NEMA involvement required	<input type="checkbox"/>	<input type="checkbox"/>
Allocation Preferences		
Alignment with NDRS	<input type="checkbox"/>	<input type="checkbox"/>
Achieves equity of outcomes for Māori communities, marae, hapū, iwi and Māori organisations	<input type="checkbox"/>	<input type="checkbox"/>
Outcome focused	<input type="checkbox"/>	<input type="checkbox"/>
Applicable in other regions / CDEM Groups	<input type="checkbox"/>	<input type="checkbox"/>
Supports national consistency	<input type="checkbox"/>	<input type="checkbox"/>
Wider funding / resource commitment	<input type="checkbox"/>	<input type="checkbox"/>
Build on existing work	<input type="checkbox"/>	<input type="checkbox"/>
Operational expenditure (Opex)	<input type="checkbox"/>	<input type="checkbox"/>
Capital expenditure (Capex)	<input type="checkbox"/>	<input type="checkbox"/>
Other		
Application from individuals or other organisations endorsed/sponsored by CDEM Group		
NEMA Subject Matter Expert Comment	Supported	Not supported
	<input type="checkbox"/>	<input type="checkbox"/>

NEMA Regional Emergency Management Advisor Comment	Supported <input type="checkbox"/>	Not supported <input type="checkbox"/>
NEMA Review Panel Comment	Supported <input type="checkbox"/>	Not supported <input type="checkbox"/>
NEMA Director Decision Sign-off	Approved <input type="checkbox"/>	Declined <input type="checkbox"/>
<p>Director of Civil Defence Emergency Management</p>		

Appendix B Report Template

CDEM Resilience Fund Project Status Report			Date: DD MMMM YY	
Project title				Project number
Project manager		Contact details		
Executive summary of status				
Progress of deliverables				
Milestones	Status (on track, delayed, etc.)		Progress this quarter and next steps	

Identification of any issues (actual or potential)					
	Issue			Mitigation	
Schedule					
Staff resources					
Budget					
Dependencies					
Stakeholders					
Quality					
Other					
Budget					
Activity	Expenditure to date	Budget to date	Full year budget	Budget forecast	Variance

Comment on variance

Confirmation

I confirm the status report is accurately reflected and the invoice amount is correct.

Project Manager

Chief Executive

CEG Chair

Comment by Resilience Fund Coordinator