

CDEM Resilience Fund

Information for the CDEM sector [IS 11/16]



CDEM Resilience Fund

Information for the CDEM sector [IS 11/16]

March 2016

ISBN 978-0-478-43514-6

Published by the Ministry of Civil Defence & Emergency Management

This document is not copyright and may be reproduced with acknowledgement. It is available, along with further information about the Ministry, on the MCDEM website www.civildefence.govt.nz.



Ministry of Civil Defence & Emergency Management
PO Box 5010
Wellington 6145
New Zealand
Tel: +64 4 817 8555
Fax: +64 4 817 8554

Email: emergency.management@dpmc.govt.nz

Website: www.civildefence.govt.nz

Foreword

Emergency management preparedness grants have been available to local authorities to promote resilience for many years. Over that time, the intended purpose and means of distribution have been reviewed and evolved to meet changing needs. Commonly known as the CDEM Resilience Fund, the provision of emergency management preparedness grants has once again been assessed to ensure we're leveraging the fund to best effect.

I'm pleased that over the last several years the fund has been put to good use by several CDEM Groups. I hope that we continue to invest wisely in initiatives that increase New Zealander's hazard risk resilience.



This Information Series document provides clarification on the use of the CDEM Resilience Fund and introduces a few subtle changes that allow us to invest in larger scale initiatives. These types of initiative will have been endorsed by CDEM Groups, but we don't expect a CDEM Group to take the lead and be accountable for the ultimate outcome of the project. At the same time, we want to ensure smaller projects managed by the CDEM Group continue to receive support. Feedback has been very clear that some very successful projects may not have gone ahead had it not been for the fund.

I encourage anyone with a good idea that promotes New Zealand's resilience to hazard risks, particularly those with an emergency management focus, to consider making an application for CDEM Resilience Fund support.

A handwritten signature in black ink, which appears to read "Sarah Stuart-Black". The signature is fluid and cursive.

Sarah Stuart-Black

Director of Civil Defence Emergency Management

Contents

Section 1 Introduction	1
1.1 About this document.....	1
1.2 Key terms.....	1
Section 2 Background and purpose	3
2.1 Purpose of the CDEM Resilience Fund	3
2.2 Background.....	4
Section 3 Application and review process	6
3.1 Submitting an application	6
3.2 Assessment of applications	7
Scoring criteria	8
Hearings.....	9
Moderation	9
Recommendations	10
3.3 Notification	10
Section 4 Reporting, payment, and evaluation	11
4.1 Quarterly reporting	11
4.2 Evaluation	11
Final report.....	12
Payment process	13
4.3 Publication	13
Section 5 Appendices	14
Appendix A Resilience Fund Application Form.....	15
Appendix B Quarterly Report Template.....	17

Section 1 Introduction

This section provides an introduction to this document and key terms.

1.1 About this document

The **purpose** of this document is to provide information to potential applicants on the purpose of the CDEM Resilience Fund, the process for applying, a description of the application review process, approvals, project reporting and payments, and monitoring and evaluation of projects.

The **intended audience** of this document is anyone considering applying to the Ministry of Civil Defence & Emergency Management (MCDEM) for project funding.

Structure

This document has the following main sections:

- Section 1 [Introduction](#) – an introduction to this guideline, including a clarification of the key terms used.
- Section 2 [Background and purpose](#) – a brief history of the fund, the purpose, key themes and criteria.
- Section 3 [Application and review process](#) – how applications are reviewed, the criteria they are scored against, hearings, moderation and approval.
- Section 4 [Reporting, payment, and evaluation](#) – quarterly reporting, final reports project evaluation and invoicing.
- Section 5 [Appendices](#) – application form and quarterly report template.

1.2 Key terms

This section provides clarification for some of the key terms used in this guideline.

CDEM Resilience Fund Coordinator

The CDEM Resilience Fund Coordinator is a MCDEM staff member appointed to provide oversight of the CDEM Resilience Fund. They support applicants through the application process, facilitate the review and selection process, monitor progress on the implementation of projects, and facilitate invoice payments and project evaluation.

Project Manager

The Project Manager is a person appointed within the contracting agency to be the primary point of contact for the project. This person is directly involved in the delivery of the project and will be accountable for the project outcomes and outputs.

Key and tangible milestone

A key milestone is a point in a project that marks progress e.g. employed a key person in the project or completion of designs. A tangible milestone is a point in the project where if nothing else happened, you would still have something tangible for the money spent, e.g. took delivery of products, a survey was completed or equipment was commissioned.

Tangible milestones are potential triggers for payment.

Section 2 Background and purpose

This section provides a description of the CDEM Resilience Fund, including

- the intended purpose
- a brief history of the Fund
- key themes, and
- eligibility criteria.

2.1 Purpose of the CDEM Resilience Fund

Purpose	The purpose of the CDEM Resilience Fund is to enhance New Zealand's disaster risk resilience through the development of local, regional, and national capability and practices.
Allocation	The Fund is allocated by the Director of Civil Defence Emergency Management (the Director) with guidance and advice from the CDEM Resilience Fund Review Panel, comprising CDEM Group and sector representatives.
Key themes	<p>From time to time, the Director will seek guidance from the Coordinating Executive Group Chairs on key themes. This is to assist in allocating the fund in a manner consistent with high level needs identified by the sector. Key themes might include items such as:</p> <ul style="list-style-type: none">• promoting and enabling data sharing• elevating recovery capability in communities• promoting and enabling community resilience• developing and delivering professional development content, or• promoting and enabling consistency.
Eligibility criteria	<p>While any agency or individual can apply to the Director for project funding, there are a number of eligibility criteria that will be considered as minimum conditions. These are:</p> <ul style="list-style-type: none">• projects meet the purpose of the fund• projects are able to demonstrate a contribution to increasing hazard risk resilience• projects are aligned with the goals of the National Strategy, National CDEM Plan and where appropriate, CDEM Group Plan• projects should provide enhanced opportunity for resilience, and as a general rule:<ul style="list-style-type: none">◦ will result in material change, not purely academic research◦ will be developed and delivered under Creative Commons licence i.e. will not result in intellectual property that is unable to be

shared

- will not result in developments that are embedded in commercial products or services
- may have a project life up to three years on one application (subject to annual funding availability)
- leverage funding and in-kind contributions from other sources.

Project areas that do not qualify for funding

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 entail restriction on intellectual property
- participation in statutory processes or litigations, and
- activities that are the responsibility of other government organisations.

2.2 Background

Origin of the fund

A civil defence subsidy was introduced by the Government in 1966 to support local authorities in the development of CDEM capability. The original intent was to increase the number of civil defence officers across the country in order to develop New Zealand's civil defence capability.

\$1M to reimburse expenditure

The method for allocating the subsidy has varied since its establishment. The total amount paid has remained set at \$1 million including GST. Prior to 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 per cent of total expenditure claimed was refunded (GST exclusive).

A number of shortfalls were identified in implementation of the pro rata allocation of the subsidy. 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 the larger councils rather than the less well-off councils who were 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.

The move to a contestable fund

A review undertaken by MCDEM identified that a more collaborative model would represent a better use of the funds to support the development of resilience. In December 2009 the Minister of Civil Defence approved a change in the allocation criteria for the subsidy to it becoming a 'contestable' fund and charged MCDEM with the development of the criteria in consultation with the sector.

Appropriation scope amended to enable projects not directly managed by local authorities

An assessment of the 2013/14 projects resulted in a number of lessons being identified. MCDEM discussed opportunities for improvement with the CDEM Groups as a result of the assessment. The change in scope of the appropriation for emergency management grants provides an opportunity for projects to be managed by other agencies in addition to local authorities. This revised Information Series document is a result of that consultation and change.

Section 3 Application and review process

This section describes the application and review process, including:

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

Annual timeline for applications

While applications can be received at any time, Figure 1 provides some guidance on the expected review period.

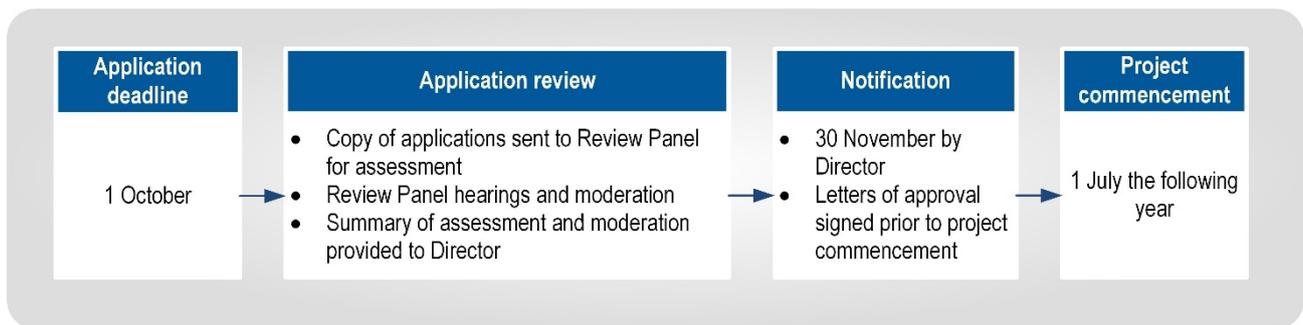


Figure 1 Annual timeline for applications

3.1 Submitting an application

Application form

Appendix A [Resilience Fund Application Form](#) on page 15 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.

CDEM Resilience Fund Coordinator

In considering whether a project is suitable for funding by the CDEM Resilience Fund, potential applicants are encouraged to discuss their project with MCDEM's CDEM Resilience Fund Coordinator. The Fund Coordinator will provide guidance on:

- key themes and eligibility criteria
- the process for applying, and
- the timeline for approvals and project commencement.

Where a project does not meet the key themes or eligibility criteria, the Fund Coordinator may be able to recommend other funding mechanisms.

Address for applications

Applications should be submitted to:

CDEM Resilience Fund Applications
Director Civil Defence Emergency Management
Ministry of Civil Defence & Emergency Management
PO Box 5010
Wellington 6145
emergency.management@dpmc.govt.nz

Further information

Applicants may be requested to provide further information or clarification to support their application. Where this is requested, applicants should be aware of the application timeline.

3.2 Assessment of applications

Review Panel

The CDEM Resilience Fund Review Panel is appointed by the Director, and comprises CDEM Groups and sector representatives. The Review Panel reviews each application, and assists the Director in the impartial assessment of applications, and recommends projects for approval. Applications are assessed according to set scoring criteria (see next page).

MCDEM staff assessment

In addition to the individual assessments undertaken by the Review Panel, a number of MCDEM staff are involved in reviewing applications. This is undertaken in order to:

- provide independent comment on projects
- support the Review Panel with 'inside knowledge' where the broader context of an application may not be evident, and
- keep MCDEM Emergency Management Advisors apprised of the nature of applications being received.

Scoring criteria

Scoring criteria

The criteria in Table 1 are scored 'A-strongly agree', 'B-partially agree' and 'No' by the Review Panel and the criteria are weighted according to relative importance.

Table 1 Scoring criteria

Criteria	A	B	No
Aligns with the CDEM strategic direction			
Will make a material difference			
Aligns with capability assessment work			
Delivers multi-Group outcomes			
Enables national level consistency			
Promotes capability development			
Is co-funded			
Builds on core business			

Each of the criteria is described below.

Aligns with the CDEM Strategic direction

Projects should have a demonstrable connection to the CDEM framework and the direction of the sector. Key themes for the CDEM Resilience Fund should be considered with this criterion, being one means of identifying current priorities expressed by the sector.

Will make a material difference

Projects should make (or contribute to) a material difference to communities or organisations. Where a project is intended to scope a larger project, provided the larger project is intended to make a material difference, the scoping project can be considered to make a material difference.

Aligns with capability assessment work

This describes a project that has been developed by a CDEM Group to address a gap identified during its CDEM capability assessment. The application is likely to contain reference to the Capability Assessment Report and the work programme intended to address opportunities for improvement.

Delivers multi-Group outcomes

Projects that provide benefit across several CDEM Groups promote consistency and cooperation. These projects potentially benefit from increased critical mass and buying power.

Enables national level consistency

These projects may be larger scale with the intention of providing a national standard or methodology. Projects looking to promote national level consistency are likely to involve MCDEM staff to facilitate endorsement of the project outcomes.

Capability development

Although not intended for individual professional development, the Fund may be used to develop resources and deliver courses for capability development.

Co-funding A favourable view will be taken where projects leverage funding from other sources. Contributions in-kind may also be considered part of co-funding.

Builds on core business The projects should not build core business in what a reasonable person would consider good practice for the organisation.

However, the fund may be considered for a clear and separate aspect of a larger project even though the larger project is core business of the organisation. The sub-project would need to demonstrate alignment with the key themes and eligibility criteria of the fund. Where this is the case, this criterion will score 'maybe'.

Hearings

Supporting applications over \$100k An opportunity will be provided to applicants to be heard by the Review Panel. Hearings will only be available for projects that exceed \$100k over the life of the project e.g. \$120k over one year or \$35k/year for three years. Applicants may request a hearing when making their application if this threshold is met.

The Fund Coordinator or a member of the Review Panel (via the Fund Coordinator) may also request that an application be supported by a hearing.

All costs associated with presenting an application to the Panel are the responsibility of the applicant.

Format of the hearing Hearings will be held in an 'open forum' with members of the Review Panel, MCDEM staff, and potentially other applicants and participants present. Applicants will be provided with the opportunity to present further details and information for the Review Panel.

Hearings may be face-to-face, by teleconference, or video conference.

Moderation

The master scoring sheet Following individual assessments and hearings, the Review Panel discuss each application, reconsider initial assessments, and agree their final score for each criteria for inclusion in the master scoring sheet.

At the conclusion of discussions, the master scoring sheet will provide the first prioritised results of the moderated assessment of applications.

Reasonableness Members of the Review Panel will review the prioritised applications to determine whether the results seem 'reasonable'. A 'reasoned position' will then be applied and it is at this point that some projects that scored below the threshold may be increased in ranking. This will be particularly important where some projects score very similar around the threshold. A balance allocation of funding will also be a consideration.

Recommendations

Recommendations provided to the Director At the conclusion of the application and review process, the Fund Coordinator will provide a summary report to the Director, outlining the results of the assessment and the justification for the reasoned position of the application.

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

When satisfied, the Director will approve projects for funding.

3.3 Notification

Notification and letter of agreement Once final decisions have been made on the success of an application, applicants will be informed of the decision. Where a project has been unsuccessful, a letter advising of the decision will end the process for those applicants. Where 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 prior to 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, to other potential funders, that the project has the backing of the MCDEM.

Appeals The final decision on funding of projects sits with the Director and his/her decision is final.

Section 4 Reporting, payment, and evaluation

This section describes:

- quarterly progress reports
- end of project report
- how material from the project should be made available
- the payment process, and
- project evaluation.

4.1 Quarterly reporting

Quarterly progress reports should be prepared by the Project Manager and submitted to the Fund Coordinator. A one year project should have three quarterly reports and a final report.

A quarterly reporting template is provided in Appendix B. The template provides for the minimum information required to keep the Director informed of progress with projects. Additional information may be submitted to demonstrate progress. Project Managers are also encouraged to contact the Fund Coordinator to discuss issues and opportunities arising from the project. This may include opportunities for the Director or Minister of Civil Defence to engage with the project at key and tangible milestones.

Key and tangible milestone

A key milestone is a point in a project that marks progress e.g. employed a key person in the project or completion of designs. Milestones should be identified in the project scope and reported against to demonstrate progress.

A tangible milestone is a point in the project where if nothing else happened, you would still have something tangible for the money spent, e.g. took delivery of products, a survey was completed or equipment commissioned.

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

4.2 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 an evaluation can be undertaken in such a timely manner as to minimise any delay in final payment.

The project evaluation will form 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 the Ministry which will be influenced by the nature of the project. This may or may not be the Fund Coordinator.
The cost of evaluation	The cost of evaluating the project will be considered by the Fund Coordinator and added to the total cost of project delivery to be funded by the CDEM Resilience Fund. The cost of evaluation does not need to be included in the funding application.
Successful evaluation	Where a project has been evaluated and the deliverables confirmed, invoices audited and a satisfactory final report received, final payment will be approved. The evaluation report and final project report will be submitted to the Director and the Review Panel.
Additional time or work to complete	When additional time or work is required to successfully complete the project, the Fund Coordinator and Project Manager will agree the time or scope of work required to complete the project, the timeline for completion and evidence to support a successful evaluation.

Final report

At the conclusion of the project, a final report should be prepared for submission to the Director. The final payment is dependent upon receipt of the final report and a successful evaluation of the project.

Report content

The report should tell a story of the project that is informative about the project itself but that also assists others considering running a CDEM Resilience Fund project. As a minimum, the final report should:

- identify the purpose and intended outcomes (drawing on the information from the Resilience Fund application)
- provide a commentary on the successes and challenges of the project
- describe the products resulting from the project and how they were developed
- describe the management arrangements, processes for project management, staff involved in delivery and expertise engaged (including a list of suppliers).
- describe the funding arrangements and detail on how the budget was spent (a table of revenue and expenditure)
- explain where/how resulting products and materials can be acquired, and
- describe lessons identified during the project.

The inclusion of photos, news clippings, media engagement, copy of the resources produced and feedback are also encouraged in the final report.

Payment process

Quarterly payments

Payments can be made on a quarterly basis, against tangible milestones, or at the completion of the project.

If quarterly payments are required, a copy of the invoice detailing what the payments are for should be included with the quarterly progress report. Invoices and the report should be submitted to emergency.management@dpmc.govt.nz

Tangible milestone against which payments will be made need to match those in the project scope.

Where 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 draws to an end, close liaison with the Fund Coordinator will be required to ensure that the final report, evaluation of the project and invoice payment can be expedited as soon as possible. Final payment will not be made until the project is completed, a satisfactory final report submitted and the project evaluation is complete.

4.3 Publication

Products and material produced as part of the project should be available for general use. In many cases this will mean making electronic copies available online. Where hard copies were produced as part of the project, the templates or plans to allow for reproduction should be available. Details of suppliers used for hardcopy production or manufacture should also be available online.

A copy of the final report should also be available online. MCDEM will also provide a copy of the final report and a link to project outcomes on the Ministry website.

Section 5 Appendices

Appendix A Resilience Fund Application Form	15
Appendix B Quarterly Report Template	17

Appendix A Resilience Fund Application Form



CDEM Resilience Fund project application form

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

Project title	
Project title	
Date of application	
Date of application	
Details on application	
Applicant	
Applicant	
CDEM Group/s affected	
CDEM Group/s affected	
Other local authorities, Groups or organisations supporting this proposal	
Other local authorities, Groups or organisations supporting this proposal	
Project description	
Executive summary <i>[200 words maximum description.]</i>	
Challenge/opportunity <i>[200 words maximum description.]</i>	
Alignment with identified goals and objectives identified in the CDEM sector <i>[200 words maximum description.]</i>	
Dissemination of benefits to sector <i>[200 words maximum description.]</i>	
Project design	
Project manager	
Project manager	
Other project members	
Other project members	
External providers/contractors	
External providers/contractors	

Deliverables		
Milestones	Date for completion	Cost
Identified risks		
Risks	Suggested 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>		
Application confirmation		
Approval of Chief Executive		
CDEM Group comment		
Comment		

Appendix B Quarterly Report Template

CDEM Resilience Fund Project Status Report

Date: xx xxxx xx

Project Title		Project Number:	
---------------	--	-----------------	--

Project Manager		Contact details	
-----------------	--	-----------------	--

Executive Summary of status

Progress on 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

Comment by Resilience Fund Coordinator

