

Guide for Grantees

DOC Community Fund - Pūtea

Tautiaki Hapori



Department of
Conservation
Te Papa Atawhai

Contents

About this guide	3
Getting started.....	4
Receive the offer of funding	5
Develop and review the Deed of Grant.....	5
Completing the ‘New Supplier Form’	6
Work authorisation.....	6
Health and safety	7
Insurance	8
Sign the Deed of Grant.....	9
Starting your project.....	10
Reporting and payments.....	12
Progress reports	12
Final Report	14
Variations to the Deed of Grant.....	15
Summary of ongoing responsibilities	15

About this guide

Purpose

This guide is for individuals or organisations who have been approved for funding through the Department of Conservation (DOC) Community Fund – Pūtea Tautiaki Hapori (the Fund).

It provides details on the steps following funding approval, including development of the Deed of Grant, project delivery, payments, reporting and project closure.

How to use this guide

This guide should be referred to throughout the life of the project to ensure you have the right information available to deliver the project and meet the requirements of the Deed of Grant.

It is divided into three sections.

Getting started: provides an overview of the steps that must be completed before your project can start.

Start of project: provides information about your responsibilities in relation to the delivery of your project.

Reporting and payments: details what is required for submitting progress reports and receiving grant payments.

Contact us

Our role is to support you in the successful delivery of your project. If you have any queries related to the Fund, you are welcome to contact us. For questions about:

- **delivering your project** (e.g. technical questions about predator or weed control), please contact your Relationship Manager or local DOC office;
- **the funding process**, including the Deed of Grant, reporting requirements or making a claim for payment, please contact the Funds Team – phone **0800 86 20 20** or email [dccb@doc.govt.nz](mailto:dccf@doc.govt.nz).

Disclaimer

While every effort has been made to ensure that this guide is as clear and accurate as possible, the information it contains is general guidance only and does not constitute legal advice. In the event of any uncertainty, you should obtain independent legal advice.

Getting started

Offer of Funding

You will be sent a Confirmation of Intent to Proceed form, which must be signed and returned to the Funds Team. This confirms the scope of the project and conditions of funding.



Deed of Grant

The Funds Team will work with you to finalise your budget and objectives for your Deed of Grant. Further information can be found on page 6.

Work Authorisation

If your project is on PCL you will need to work with your Relationship Manager to enter into a Community Agreement. Further information can be found on page 7.

Health and Safety

Projects require a Health and Safety plan to be in place.



Sign Deed of Grant

You will need to sign the Deed of Grant and return to the Funds Team to arrange counter-signing by DOC. A final copy of the Deed will be provided for your records. You will also receive your first instalment upon signing of the Deed.



Start project

Your project can now begin. Make sure to keep a record of the work you do and any financial expenses associated with the project. You will need to report on these. Information on reporting and receiving your grant instalments can be found on page 12.

Receive the offer of funding

All applicants will be notified of the funding decision in writing, detailing the total grant amount and what is required of you. Offers of funding may also include specific funding conditions that were identified during the application assessment process. This means that the scope and scale of your project may need to be reviewed and amended.

Complete Confirmation of Intent to Proceed form

You will receive a 'Confirmation of Intent to Proceed' form at the same time as your offer of funding. You must sign and return this form to the Funds Team within 7 days.

This confirms your:

- intention to proceed with the project;
- acceptance of any funding conditions outlined in the offer letter;
- understanding that the offer of funding may expire 6 months after you return the form if a Deed of Grant has not been fully signed.

By signing the Confirmation of Intent to Proceed form, you are also signalling an understanding of your ongoing responsibilities in relation to the grant and that any **costs incurred before the Deed of Grant is signed cannot be covered by the Fund.**

Develop and review the Deed of Grant

Once we receive your 'Confirmation of Intent to Proceed' form, we will work with you to develop your Deed of Grant.

A pre-populated template will be provided using information from your application, including the project budget and objectives. You will need to review this information and confirm that it is accurate, as some details may have changed since the application was submitted. If you have been granted less funding than you requested, the scope and scale of the project will need to be reviewed, including the objectives and associated budget.

You will then be provided with a **draft** Deed of Grant which states the agreed project purpose, budget and objectives. We recommend that you review all the terms and conditions of the Deed of Grant to ensure you understand your obligations. The Deed of Grant is a legally binding document and you may choose to get this reviewed by a lawyer before signing it. If you are unclear on any of the terms and conditions, please contact the Funds Team for assistance.

You should aim to review and confirm the details of your Deed of Grant within 3 months of receiving the template. The Funds Team will review any updates you make to the document and may request further information to ensure that it meets DOC's requirements. There can be several iterations of the draft Deed of Grant before it is ready to sign.

Completing the 'New Supplier Form'

The 'New Supplier Form' is used to set you up in our financial system and ensures that we can make payments to you. The Funds Team will send this to you when setting up your Deed of Grant.

Even if you have previously been paid by DOC you may need to complete a supplier form. The Funds Team will email you a New Supplier Form if you are required to complete one.

Please note the guidance on the following sections of the form.

GST/IRD number - You must provide either a GST number if GST registered. If you are not, the IRD number of the individual or group who will sign the Deed of Grant is required. If your group does not have an IRD number, you can apply for one online or phone IRD.

IR330c form - You are only required to complete an IR330c if you are a contractor.

Work authorisation

You need to have the authority to work on the land where your project is based. Work authorisation is completed at the same time as you develop your Deed of Grant and ensures that you have in place the necessary landowner permissions to carry out your project, a suitable Health and Safety Plan, and insurance to cover any liabilities arising from the project.

Permission to work on public conservation land

If your project is being undertaken on public conservation land (PCL), you will need to obtain written approval in the form of a **Community Agreement** from your local DOC Relationship Manager. Please factor into your project planning that the agreement can take a couple of months to finalise.

The Community Agreement **must** be in place before the Deed of Grant can be signed.

A Community Agreement (previously called a Management Agreement) is used by DOC to give authority to organisations to operate on PCL. It is a legally binding document that describes the scope of work and the terms and conditions that were agreed between DOC and the group/organisation.

Your local DOC Relationship Manager will discuss and finalise the Community Agreement document with you to ensure that you:

- understand why you need legal authority to operate on PCL;
- understand DOC's Person Conducting a Business or Undertaking (PCBU) duties

- accept the importance of working safely
- understand and become familiar with the process of concluding a Community Agreement.

Permission to work on land not designated as PCL

If your project is **not** being undertaken on PCL (e.g. is on privately-owned land, Māori land or local authority land), you will need to have the appropriate authority and permission from the respective landowner(s) to conduct the project on their land. By signing the Deed of Grant (see clause 6) you are confirming that you have been granted all appropriate permissions.

Health and safety

DOC is committed to best practice health and safety and adhering to the requirements of the Health and Safety at Work Act 2015 (HSWA). If you are working on PCL, you will be required to submit a Health and Safety Plan to your local DOC office for review and acceptance.

Your local DOC Relationship Manager will review your Health and Safety Plan to confirm that it is adequate to support the safe delivery of your project. If the plan needs any revisions, they will work with you on this before it is accepted by a DOC Operations Manager on behalf of DOC.

If your project is not being undertaken on PCL, there is no requirement for your Health and Safety Plan to be approved by your local DOC Office. However, under the terms of the Deed of Grant, you are required to have a project-specific Health and Safety Plan in place that is suitable to support the safe delivery of your project.

Your local DOC Relationship Manager can provide you with a **Community Group Safety Plan template** to help you develop a safety plan for your project.

All DOC Community Fund grantees are required to:

- carry out the project in accordance with your Health and Safety Plan and undertake regular monitoring to ensure the plan is complied with
- ensure that all employees, volunteers and personnel (including assignees and sub-contractors) are appropriately trained and competent to undertake specific tasks
- report all incidents and near-misses to DOC as soon as practicable
- report notifiable events to WorkSafe New Zealand – these include death, injuries such as a serious burn, a head, eye or spinal injury requiring hospitalisation, or an incident where people’s health and safety are seriously threatened or endangered.

Further guidance on the HSWA, including resources to assist in the development of Health and Safety Plans, can be obtained from WorkSafe New Zealand:

<https://worksafe.govt.nz/managing-health-and-safety/>.

Insurance

It is your responsibility to ensure that you have adequate insurance to cover any liabilities arising from the project and that the policy remains active for the full duration of the project (see clauses 8 to 10 of the Deed of Grant).

Community organisations that are carrying out work authorised by DOC on PCL may be covered for liability under DOC's General Liability Policy. Your local DOC Relationship Manager will discuss this with you as part of the Community Agreement approval process.

DOC can also cover community organisations undertaking activities that are off PCL under its General Liability insurance if:

- a) they comply with DOC's Standard Operating Procedures and have a Health and Safety Plan accepted by their local DOC Office, or
- b) they use their own operating procedures and Health and Safety Plan provided these have been reviewed and accepted in writing by their local DOC Office.

If you have any questions about DOC's general liability insurance, you can contact the Funds Team.

Sign the Deed of Grant

The Deed of Grant between DOC and the successful individual/organisation can be signed once:

- ✓ the Deed of Grant has been agreed and finalised with the Funds Team
- ✓ a Health and Safety Plan is in place (and has been approved by the local DOC office if working on PCL)
- ✓ permission to undertake the project activities on site has been confirmed (through a Community Agreement if working on PCL, or if the project is not on PCL, once you have received permission from the applicable landowner(s)).

Only person(s) with the relevant delegated authority may sign the Deed of Grant. There may be individual or multiple signatories depending on your legal entity status.

Your first instalment is available on signing the Deed. For further information on submitting an invoice see [the DOC website](#).

Once the Deed of Grant has been signed by both parties, your project can begin. The Funds Team will provide you with a copy of the Deed of Grant for your records.

Important: Any project expenses incurred before the Deed of Grant is signed by both parties are **not eligible** for reimbursement.

Common seal

There are specific requirements for signing the Deed of Grant if you are an **Incorporated Society** or a **Charitable Trust**.

If you are an Incorporated Society (under the Incorporated Societies Act 1908) or an incorporated society or trust (under the Charitable Trusts Act 1957), you may have adopted a common seal on incorporation.

A common seal is usually a rubber stamp that includes the name of the society and the words 'common seal'. Contact a commercial stationer for information about ordering a seal.

If you have a common seal, this will need to be affixed next to the signature block when you sign the Deed of Grant, **unless your rules state otherwise**. Your rules (eg your trust deed, constitution or charter) will set out when and how the common seal should be used.

If the common seal is required and is not affixed, the Deed of Grant will not be legally binding.

The Companies Office can provide you with information and resources that will assist you and your charitable trust board or incorporated society, including use of the common seal – see www.societies.govt.nz/cms.

Starting your project

You may start your project on the date the Deed of Grant is counter-signed by DOC. You are responsible for the delivery of your project and must use your best endeavours to deliver your project within the costs and timeframe specified in your Deed of Grant.

Resources to support the delivery of your project

Resources to support the delivery of your project (including guidance documents and reporting templates) are provided on the [DOC website](#). We recommend that you familiarise yourself with the resources available on this page.

Procurement

Your grant is derived from public money. Therefore, projects that are funded by the DOC Community Fund must use appropriate processes (including tenders) so that the costs incurred are reasonable and transparent.

Sub-contracting

You may sub-contract parts of your project, but as the grantee you remain wholly responsible for the delivery of the project (including any work, acts or omissions undertaken by your sub-contractor).

If you engage a sub-contractor, you should:

- follow appropriate procurement processes
- check that the contractor has their own public liability insurance – if the contractor does not have cover, they may be able to be covered by DOC’s General Liability Policy, but their operating procedures and Health and Safety Plan will first need to be reviewed and accepted by your local DOC office
- have an appropriate contract in place between you and your sub-contractor
- monitor any work carried out by your sub-contractor.

Intellectual property

Under the terms and conditions of the Deed of Grant, you own all intellectual property related to your project, on the condition that you permit DOC to use, and make available, any material created through the project.

Announcements and public statements

The Minister of Conservation announces the projects that have been approved for funding through the DOC Community Fund. **You may not make any public statements about receiving DOC Community Funding prior to an announcement by the Minister, unless otherwise advised in writing.**

Any public statement (or publication) made in relation to the funding received through the DOC Community Fund must appropriately acknowledge the assistance of the fund and refer to it as a grant or funding and not a partnership or endorsement. Please contact the Funds Team if you intend to reference your funding in an announcement or publication.

Audits

DOC has a responsibility to ensure that government funds are spent correctly and appropriately. As such, your project may be randomly selected for an audit. The purpose of this audit would be to verify compliance with the terms and schedules of the Deed of Grant. An audit may be undertaken at any time during delivery of the project or up to 24 months after the project is completed.

Official Information Act

Any information presented to DOC (including information contained in any reports) is subject to disclosure under the Official Information Act 1982 (OIA). Certain information may be withheld in accordance with the grounds for withholding information under the OIA. Further information on the OIA is available at www.ombudsmen.parliament.nz.

If DOC receives an OIA request that includes information about your project, we will endeavour to contact you to confirm whether you consider there are grounds to withhold any information. However, under the OIA, DOC makes the final decision on which information is released.

Reporting and payments

Progress reports

As a minimum, you are required to report to the Funds Team every **6 months** on the progress of your project. Submitting a progress report to the Funds Team will also trigger the next instalment of your grant.

You may report to us sooner if you have fully expended the previous grant instalment and you are ready for your next payment.

Your progress report provides us with information on how the delivery of your project is going.

You will need to provide the following documents to enable processing of your grant instalment. These can be found on the [DOC website](#).

Document	When making a claim for payment
Progress report	Complete the progress report template every 6 months (or earlier if you have exhausted your previous instalment) to report on the progress made on your project, including activities completed and the achievement of key milestones.
Summary of expenses	Use the summary of expenses to list the expenses you are claiming against the grant. Use the same document for the full duration of your project to provide a running total of the project expenses. Please choose the correct form for your GST status.
Evidence of expenditure	Submit copies of invoices/receipts to verify all expenditure listed in your summary of expenses during the reporting period.
Invoice	Submit an invoice with your progress report (the Deed of Grant will confirm the schedule of payments for your project). Invoices should be made out to the 'DOC Community Fund' and include the following details. <ul style="list-style-type: none">• Your organisation's address, bank account and GST number (<i>if applicable</i>)• Addressed to the Department of Conservation• Invoice number• DOC Community Fund reference number (e.g. DOCCF6-056)• Total claim amount• GST component (<i>if applicable</i>)

Progress Report Form

The 'Project progress' section of the progress report presents a snapshot of what has been happening within the reporting period. You should report progress made towards achieving the objective(s) set out in your Deed of Grant.

The 'Grantee statement' section provides assurance to DOC that you recognise that you are accountable for the information provided.

Project costs

It is important that you keep detailed and accurate records of all expenditure you will be claiming against the grant. You will need to have supporting evidence to verify the costs incurred (eg if \$500 is spent on buying new traps, you will need to provide the corresponding invoice/receipt to support your claim). We will not be able to process your payment if invoices and receipts supporting the project expenditure are not provided.

You must provide evidence of all expenditure incurred in the delivery of the project (e.g. copies of invoices or receipts) for which you will be claiming against your grant and these **must match the budget items listed under Schedule One in your Deed of Grant.**

Payments

The Deed of Grant confirms the schedule of payments for your project. When you submit a progress report an invoice should be provided to receive the next grant instalment for your project.

A sample invoice template that can be used or referred to in order to ensure your invoice includes all necessary information is available on the [DOC website](#).

Keep us informed

Reports are trigger points for information-sharing, but this is not necessarily the only time contact should be made. You must keep the Funds Team informed if you become aware of any issues that may affect delivery of your project (e.g. your ability to achieve the agreed project objectives within the timeframes and budget detailed in your Deed of Grant) as a variation to the Deed of Grant may be required.

At all times during the project, you are also required to keep us informed of material health and safety information in relation to the project, or if you are subject to any enforcement action (e.g. through the Resource Management Act 1991 or other legislation).

GST registration

Government funding is a taxable activity. If you are conducting a taxable activity and your annual income exceeds \$60,000 per annum, your organisation **must** be registered for GST.

If your annual income is under \$60,000, you may register for GST voluntarily, but bear in mind that you will be subject to the same requirements as everyone else who is GST registered.

For more information, visit www.ird.govt.nz/gst or phone the Inland Revenue Department on 0800 377 776.

Final Report

When you have completed your project objectives, and paid all the expenses, you are ready to submit your final report.

A small portion of the grant is held back until the project is completed (approximately 10% of the final year's grant). This means the final grant instalment will be a reimbursement, as you will need to have spent all the funding before a final project report can be submitted.

An invoice for this final payment should be submitted with your final report when the project is complete.

As well as reporting the extent to which you met your project objective(s), the final report also includes a section for you to provide us with key statistics/data in relation to your project. We recommend that you familiarise yourselves with this template so that you can keep track of key statistics/data as your project progresses.

Unspent funds

If you have any unspent money from the DOC Community Fund at the end of your project, this must be returned to DOC. The Funds Team will confirm how you can do this when you submit your final project report.

Variations to the Deed of Grant

A variation to the Deed is required when substantive changes to the project are requested. This includes amendments to the project objectives, timeframes, and significant financial and/or budget information. It will be at the discretion of the Funds Team to determine if your Deed of Grant requires a variation.

A variation is only legally binding when both parties agree to it in writing. Variations are not to be used to mitigate unsatisfactory performance but are to be used to assist effective project management.

If you think that your Deed of Grant requires a variation, please contact the Funds Team for advice on the next steps.

Summary of ongoing responsibilities

The Deed of Grant outlines all your obligations, responsibilities and rights. Failure to meet these terms (or any other breach of the funding deed) may result in DOC cancelling your grant and requesting the return of funds.

The table below provides information on those areas that you should consider on a day-to-day basis.

Grantee responsibilities

- ✓ Use the grant for proper purposes and within the scope of the project.
- ✓ Manage the health and safety of your project responsibly and appropriately.
- ✓ Ensure you have the appropriate insurance for your project.
- ✓ Follow appropriate procurement processes to ensure the best value for money through open and effective tendering.
- ✓ If you sub-contract any part of your project, ensure you have appropriate contracts and monitoring processes in place.
- ✓ Keep detailed and accurate records of all expenditure against the grant for your project.
- Use the templates provided to report to and make payment claims from the Funds Team.
- ✓ Obtain signatures on reports from a duly authorised representative from your organisation.
- ✓ Seek agreement to any variation to the Deed of Grant through the Funds Team.