

Application for Funding Projects



About this form

This form enables you to make an application for funding over \$100,000 from the Provincial Growth Fund for applications relating to the delivery of projects.

You will need to use the Express Form if your application is for an activity under \$100,000 or the Development Phase Form if your application is within the Development phase of a Project (i.e. feasibility / business case).

These forms are available on the [Provincial Growth Fund website](#)

Purpose of the Provincial Growth Fund

The Provincial Growth Fund aims to lift productivity potential in the provinces. Its priorities are to enhance economic development opportunities, create sustainable jobs, enable Māori to reach their full potential, boost social inclusion and participation, build resilient communities, and help meet New Zealand's climate change targets.

Completing this form

Please complete all sections fully and accurately. Square brackets and italics indicate guides.

Please see the PGF website, or contact your regional relationship manager, for further support.

Submitting your application

All completed forms must be emailed to PGF@mbie.govt.nz with a clear subject included.

If you are a Trust (or applying on behalf of a Trust), then you must provide a copy of your Trust Deed.

Next Steps

Applications will be assessed for eligibility, as well as how well they will deliver on the aims of the Provincial Growth Fund. One of our team will be in contact regarding your application.

Funding Agreement

The template funding agreements can be found on the [Provincial Growth Fund website](#)

Public disclosure

The Provincial Development Unit is responsible for leading the Provincial Growth Fund's design, administration and monitoring its operation in consultation with other government agencies. In the interests of public transparency, successful applications may be published by the Provincial Development Unit. Commercially sensitive and personal information will be redacted by reference to the provisions of the Official Information Act 1982. Please identify by highlighting any information in your application that you regard as commercially sensitive or as personal information for the purposes of the Privacy Act 1993.

Part A: Key Details

Please note that if the funding agreement will not be held with the applicant (i.e. applying on behalf of another organisation), then we require the details of that organisation.

1. Proposal Title: Kaipara District Council – Kaipara Kickstart (Roading)

2. Please provide a very brief description of the project/activity:

This project focuses on upgrading key roads to catch up on the quality of some road surfaces and the strength of some bridges, which will enhance road safety, connect businesses (for tourism, kai, etc), connect locals, and connect Marae.

It is one of three projects in a combined “Kaipara Kickstart” package, the other two projects focus on Wharves and Kai.

3. Please provide the details of the applicant organisation/entity for which funding is being requested:

Legal Name:	Kaipara District Council
Entity Type:	Local Authority
Registered Offices / Place of Business:	42 Hokianga Road, Dargaville 0310
Identifying Number:	
Organisation’s Website:	www.kaipara.govt.nz

4. Please provide the contact details for a person as a key point of contact):

Contact Name and Role:	Jason Marris - GM		
Email Address:	Privacy of natural persons	Telephone:	Commercial Information

5. Please describe the principal role or activity of the applicant organisation.

The Kaipara District Council (the “KDC”) delivers all of the normal services of a District Council.

KDC’s role is to lead and represent their community, while considering the needs of people currently living in the District and those who will live there in the future. Core to KDC’s local governance role is providing a sustainable future for its ratepayers by maximising the opportunities available in the region.

With a rating base of only 22,000 people, annual revenue cannot overcome the infrastructural deficit that the region has inherited. This PGF package is the first of a series of packages envisaged. It focuses on three areas that need addressing before anything else can happen: roads, kai and wharves.

Kaipara has historically been underfunded due to its low ratepayer base, however, with the assistance of the PGF there is a significant opportunity to unlock in the Kaipara harbour, through a number of above initiatives.

Three interconnected projects form the basis of the basis of a package collectively referred to as “Kaipara Kickstart”. The remainder of this application focuses on the third project: **Roads**.

— Kai: Unlocking the potential of fertile land assets in the Kaipara through a feasibility study (building on the basis of a 2003 study already performed) and programme of work to begin the transformation of idle land, to productive land. In addition, a local office will be opened to immediately begin assisting local farmers to investigate and introduce higher-value crops.

— Wharves: Making the harbour accessible to tourism and the horticulture industry, and providing a lasting connection to Auckland, to provide a sustainable future for the Kaipara. Phase one includes undertaking a consultant investigation priority projects for wharf infrastructure and ferry transport for the Kaipara Harbour as determined.

— **Roads: Remediation and upgrade work to bring current roading infrastructure up to standard. The primary drivers of this are land access and road user (e.g. tourist) safety. (We are reliant on NZTA and the PGF to determine the appropriate funding split for resourcing this project).**

6. This project will be based in the region of:

7. What type of funding is this application for:

[Note: the most appropriate funding type will be determined by the PDU in consultation with the applicant]

8. What is the activity / funding start and end date?

Start Date:	Commercial Information	Completion Date:	Commercial Information
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9. Has this project / activity been previously discussed with any part of Government? Yes: No:

- If Yes, please describe which part of government, and what the outcome of the discussions were.

Initial discussion Paul Swallow – Investment Director, PDU.
 Encouraged Kaipara package, to outline the separate pieces and explain how they were connected.
 Also in discussion with NZTA about how funding would be split between NZTA and the PGF.

10. Have you previously received Government funding for this Project? Yes: No:

- If Yes, please list which part of the Government, when the funding was received, and how much under Q11.

11. Please set out the proposed sources of funding for the Project:

Source of Funding:	\$ (excluding GST)	Status / Commentary
<i>Provincial Growth Fund Funding (through this application)</i>		
Phase 1: Roading	Commercial Information	This application, pending approval.
KDC contribution Cor. Mts contribution (Waipoua River Road widening contribution)	\$ Commercial Information \$ Commercial Info	
Total:	\$ Commercial Information	See two accompanying applications for Kai and Wharves

Part B: Project Description

12. This application is: “a stand-alone activity” or “in support of a wider project/programme”

13. Will additional funding be required in the future?

Commercial Information

If Yes, please describe at a high level, what this may include, and when this is likely to be applied for.

Commercial Information

14. Has a feasibility study, or equivalent, been conducted prior to this application? Yes: No:

- If Yes; please provide a copy, including an overview of the feasibility study and any outcomes.
- If No, please explain why not; and how feasibility/viability of the project has been assured.

Business cases are available and have been sent through separately.

15. Please provide a detailed description of this project for which funding is being applied:

The opportunity

The Kaipara has a plethora of untapped social, human and physical capital – a fantastic opportunity is available in its beaches, land, people, and culture. Unlocking these opportunities is essential to the Kaipara’s success and prosperity. The primary drivers of these opportunities are safety, access, horticulture, tourism, and land development

This is an opportunity to upgrade unsealed roads to improve safety, connect businesses and Marae, and provide a further avenue for tourism growth. The potential benefits centre around reducing operational expenditure, improving regional economic growth as well as supplementary benefits of increased safety, lower customer complaints, and general access improvement. A business case and technical study prepared in 2017 revealed the quality prospects for the Kaipara transport network, which will serve as the basis to move forward and capitalise on the aforementioned kickstart growth opportunities.

The project - Roding

The focus is to upgrade key roads to enable Kaipara to catch up on road safety by re-metaling road surfaces. Furthermore, strengthening bridges will facilitate and enable access by freight users, better connecting businesses. (See attached business case.)

The following is included in this Kaipara District Council roading implementation:

- Program Support
- Pouto Road (Existing EOI) Phase 1
- Pouto Road Seal Phase 2
- 50 max priority bridges (existing EOI)

- Waipoua River Road widening
- Unsealed network re-metaling work – including marae access improvements

These roading projects have been identified as priorities by KDC and the Mana Whenua forums KDC holds with Iwi in Kaipara. The priority is also supported by the attached business cases from LGNZ, RTU, Opus, and MWH's 50Max report.

The outcomes

Employment and community

The roading project has the potential to connect communities in Kaipara with the wider Northland region and the rest of New Zealand. Many ancestral marae, local homes and tourist hot spots are located at remote ends of variable quality roads. Upgrading these will not only connect the people living there with the region, it will allow visitors to connect with them.

Quality roads connect the communities, while also connecting locals to wider employment opportunities outside of the Kaipara, but primarily in core Kaipara Horticulture and Tourism industries. In addition, safety will be improved and the roading network will be made more resilient.

Providing quality access throughout the region and further afield to Northland and Auckland opens employment options potentially out of reach for many locals, particularly within the Iwi of the region whose marae have limited access routes.

An increase in accessibility through the project will drive increased traffic, and in turn increased business propositions for tourist operators, from both outside and inside the Kaipara.

Changing tourism needs in the Kaipara will drive a growth in job prospects for Kaipara locals – an adept connection to the land in the Kaipara, and distinct local knowledge provides increased employment prospects for local operators and residents. Employment growth in the Kaipara district has been behind the rest of the country in recent years, and the project provides an incentive for locals to engage in and embrace tourism.

Regional revenue/economic potential

The Kaipara has an income deficit for locals of approximately \$^{Commercial Info} for each individual. Bringing the Kaipara roading network to the same state as the rest of Northland, the potential to bring an actual economic gain of \$^{Commercial Info}, through access to employment and access to tourism, food, and living economies (see other project applications)

The Kaipara is currently an untapped resource of tourism hotspots, unknown and overlooked by tourists travelling to Northland due to the current inaccessibility. Currently Northland captures around 5% of New Zealand's visitor activity, and with New Zealand experiencing a strong growth of international tourism over the past 5 years (5% per annum) these projects in combination with wider projects, ensure that KDC are poised to capitalise on growing tourism opportunities.

The projects will increase visitor spending opportunities by opening up Kaipara at Auckland's back door – particularly important as the majority of tourists begin their journeys in Auckland. It will offer an alternative route north to Te Rerenga Wairau, a popular attraction for visitors, while also contributing to the growth of the Māori tourism industry.

Average tourism spend per tourist night in Northland is approximately \$500 (with day trips expected to be around \$100) so addressing the infrastructure deficit that is preventing an increased flow of tourism will generate real revenue and employment opportunities in the District.

Economic potential is also able to be unlocked through the development of land for residential housing, this will be further investigated through the feasibility studies. There is an opportunity for new communities with up to ^{Commercial} properties an estimated construction opportunity of approximately \$^{Commercial}.

Environmental sustainability

This project’s contribution to environmental sustainability is through assisting horticultural development, which will take pressure off the environment in other major horticultural areas such as Pukekohe.

Funding sought

Funding is sought from the PGF and NZTA for phase 1 and 2 of the Roding Project. A further funding bid will be put forward once phase 1 and 2 feasibility studies are complete. This application focuses on the roading section and includes funding for:

Roding Infrastructure Phase 1 and 2 (PGF and NZTA to decide Funding Split):

Item	Description	Cost
Programme Support		\$1.3m
Pouto Rd Seal Phase 2		\$3.1m
Pouto Rd (Existing EOI) Phase 1		\$5.1m
50Max Priority Bridges (Existing EOI)		\$ ^{Commercial}
Waipoua River Road		\$1.6m
Unsealed Metal Build		\$ ^{Commercial}
		\$ ^{Commercial Information}

16. How does this project demonstrate additionality within the region?

Project is not already underway, does not involve maintenance of core infrastructure or assets (except for transport resilience initiatives), and does not cover activities the applicant is already funded for (funding could be considered to increase the scale of existing projects or re-start stalled projects)

The Kaipara roading project is new – while Northland has other complimentary roading projects, this project envisages the revitalisation of a specific area, to enable a flow to tourism and horticulture, and act as a catalyst for the region's growth.

Demonstrated benefit of central Government investment or support

Revenue and employment growth potential is substantial given the land that can be made accessible for horticulture and tourism development. Increased employment opportunities through access will provide tangible economic benefit to local Iwi as well as the wider Northland horticulture and tourism industry

By upgrading the road network, access will be improved for locals and tourists alike travelling through the region. Improved roading will make it easier for resources and people to be moved around the region, particularly important in the development of the horticulture industry in which we are seeing an increased demand for people and products.

The business case outlines benefits of this project; not only will upgrading the roading network minimise the maintenance costs over the lifetime of the road (Commercial Information) it has the potential to facilitate growth in the local economy by providing a fit for purpose network.

Detail of any supporting third party funding (and any funding sought unsuccessfully)

The allocation of the cost between NZTA and PGF for the roading components is yet to finalised.

Acts as a catalyst to unlock a region's productivity potential

As outlined earlier, substantial land is available for development and KDC, through its strategic relationships and the upgrading of roads and key connecting routes, intends to be the gateway for facilitating the development of those land assets. There is incredible potential to be released through horticulture activities from those land assets. Tourism opportunities will be increased for the Kaipara with improved roading and access, as well as opportunities for a potential ferry link from South Head to Pouto wharf, these will link to Dargaville and cycle trails not readily accessible.

Demonstrated links to other tiers of the Fund and related projects, to maximise value of Government investment

As noted earlier, this application is for stage one of the project and is one project in a package of three, collectively referred to as Kaipara Kickstart. A secondary application for funding will follow.

Investment in upgrades to the unsealed sections of road have the ability to facilitate economic growth through minimisation of travel times and significantly reduce the wear and tear on freight vehicles and the road itself, these benefits are aligned, and support the Tai Tokerau Regional Growth Study.

17. How is the project connected to regional (and sector) stakeholders and frameworks?

- As part of the initial analysis, KDC will be actively involved in engaging with appropriate stakeholders to determine the best outcomes of the project;
- KDC has existing positive relationships with Iwi groups in the Kaipara and intends to leverage those relationships to confirm the requirements of the infrastructure projects;
- Existing projects in the Kaipara have an opportunity to link to the greater Kaipara Kickstart vision – KDC will be actively involved in ensuring that these projects are wrapped into the wider revitalisation programme to provide efficiency and a common direction.

Continued dialogue will be had with all stakeholder groups and individuals throughout phase 1 and 2 of the project.

PROACTIVELY RELEASED

18. How will your project lift productivity potential in the regions?

PGF Outcome	✓	How will the project positively or negatively impact this outcome in the region(s) identified?
1. Increase economic output	✓	<i>Please refer question 15. Potential for considerable economic growth.</i>
2. Enhance utilisation of and/or returns for Māori assets	✓	<i>As above.</i>
3. Increase productivity and growth	✓	<i>As above.</i>
4. Increase local employment and wages (in general and for Maori)	✓	<i>Please refer question 15. Potential for considerable employment opportunity.</i>
5. Increase local employment, education and/or training opportunities for youth (in general and for Māori)	✓	<i>As above. Employment opportunities will increase with improved roading connections.</i>
6. Improve digital communications, within and/or between regions	✓	<i>Improved networks will inevitably provide an element of interconnectivity through digital communications. A digital transformation project is underway currently for the Northland region.</i>
7. Improve resilience and sustainability of transport infrastructure, within and/or between regions	✓	<i>Core roading infrastructure is integral to providing local industry access to AKL for shifting of crop and tourists (local and international). Connections between AKL to Kaipara and Dargaville.</i>
8. Contribute to mitigating or adapting to climate change	✓	<i>Horticulture is a proven low environmental impact use of land, road development will support horticultural growth.</i>
9. Increase the sustainable use of and benefit from natural assets	✓	<i>As above.</i>
10. Enhance wellbeing, within and/or between regions	✓	<i>Fit for purpose infrastructure has the potential to increase income and social outcomes for the whole Northland region.</i>
Total number of outcomes project contributes to	10/10	Please refer to the project summary document and question 15 for further detail.

19. Has public consultation been conducted?

Yes:

No:

If yes, what were the results?

If no, is there a plan to do so?

Full public consultation has not yet been conducted but discussions with community and Iwi leaders has indicated support for roading as a priority. This has been at Mana Whenua forums with Iwi, and with Roading Forums convened by KDC with community leaders and road-users across Kaipara District.

20. Has any customer demand analysis been undertaken?

Yes:

No:

- If yes, please provide a description of the analysis and its outcomes:
- If no, please describe why, and how you are sure of the need for the asset:

Tourists and locals use existing infrastructure but currently the roads are not up to the task of supporting existing or increased visitor numbers. Infrastructure spend on roading is essential to provide safe passage for visitors and residents alike.

21. Where the project utilises land, does the land have any other interests associated with it? (i.e. Treaty claims, or iwi/hapū ownership)

Yes:

No:

The land on which these roads exist is Council-owned land.

22. Is the land owned by others, i.e. not solely by the applicant?

If yes, then please describe the other interests and how will this be managed?

Please see above.

23. Does the land have appropriate Resource Management Act consents?

Yes:

No:

If no, how and when will this be addressed?

Normal council processes for road management apply.

Part C: Project Delivery

[Please note – this section refers to the actual activity associated with this application.]

24. Please provide an overview of the project management approach / plan for this activity.

- *How the activity will be managed from your organisation?*

The project will be conducted by KDC, with support from third parties to perform the relevant financial and qualitative analysis, and who will provide the feasibility studies and programme of work for KDC to proceed. This will enable KDC to take the next steps to engage stage two of the projects.

- *What involvement is required by the Provincial Development Unit?*

KDC would appreciate assistance from Provincial Development Unit to provide advice and connectivity to adjoining and complimentary projects to the Kaipara Kickstart project. If KDC and other stakeholders can be made aware of additional projects in the region, it is possible efficiencies can be gained for the betterment of Kaipara and Northland as a whole.

- *What other partners are required for successful delivery?*

KDC would like to partner with appropriate professional services firms to deliver initial analysis and feasibility studies, combined with a programme of work to enable stage two of the project. Partnership will be sought with local Iwi for the development of roading infrastructure that supports the Kaipara Kickstart programme complimenting horticulture and wharf infrastructure, further partnerships will be sought with technical service providers (engineering, horticulture, other) to enable the building of the industry, and infrastructure.

We note a number of other projects in Northland are underway, and will be considered as part of KDC's wider delivery strategy.

- *What project management practices will be in place?*

KDC, with support from appropriate professional service firms, will manage the first stage of the project which involves the analysis of a number of factors essential to core decision making in the second stage of the project.

- *Who are the key personnel within the organisation relating to this project?*

Mayor, KDC
Louise Miller – CEO, KDC
Curt Martin – GM KDC
KDC representatives within the Northland Transport Alliance

- *Please include bio's and provide an organisational/project structure where possible.*

<https://www.kaipara.govt.nz/Our+Council/Mayor+and+Councillors.html>

<https://www.kaipara.govt.nz/Our+Council/Senior+Management+Team.html>

Please refer to the activity timeline in the attached project summary document for project structure.
See attached "Kaipara Kickstart" A3 document page 8

- *Please attach a copy of your health and safety policy that will apply for this project.]*

<https://www.kaipara.govt.nz/Our+Council/Health+and+Safety.html>

25. Have you had independent verification of the project approach / plan?

Yes:

No:

If yes, who verified the project and when?

We have engaged a range of professional services firms over previous years. These have formed the base for this application and attached additional analysis that has been factored into the costings in this proposal and will be used to refine costs as needed. A business case and technical study prepared in 2017 has been used to guide the approach in this application together with the outcomes sought under the Kaipara Kickstart Programme.

26. Please provide us with a project plan, where possible please attach a schedule (i.e. Gantt chart):

#	Project Activity	Responsible:	Date / Period:
1	Programme Support including stakeholder and community engagement.	Process & project managed and delivered by existing professional advisor, with oversight from Mayor and CEO.	Commercial Information
2	Pouto Road: Detailed design and plans prepared and procurement costs for necessary resources and implementation of confirmed plans and sealing of the identified roads.	Project managed by roading contractor, with oversight from Mayor and CEO.	Commercial Information
3	Pouto Road upgrade: phase 2 of the project	As above	Commercial Information
4	Bridges: upgrading and identification of bridges utilised by freight users for improvement	As above	Commercial Information
5	Unsealed re-metalting: identification of required sections of the network, obtaining necessary resources and sealing of identified roads.	As above	Commercial Information

Please also see attached "Kaipara Kickstart" A3 document page 8

27. Please provide a complete breakdown of the costs of the project to assist us in understanding where the funds will be utilised:

KDC and Te Roroa Iwi will be contributing as noted in question 11 (1.01m)

Cost Description:	Description	\$ (excluding GST)
Programme Support		\$1.3m
Pouto Rd (Existing EOI) Phase 1		\$5.1m
Pouto Rd Seal Phase 2		\$3.1m
50Max Priority Bridges		\$Commercial
Waipoua River Road		\$1.6m
Unsealed Metal Build		\$Commercial
		\$Commercial Information

28. What are the proposed deliverables if funding is approved?

#	Description	Payment criteria:	Invoice Value \$ (Exc. GST)	%	Invoice Date:
1	Programme Support		\$1,300,000	Committed %	Various
2	Pouto Road Phase 1 Upgrade: Detailed design and plans prepared and procurement costs for necessary resources and implementation of confirmed plans and sealing of the identified roads.		\$5,100,000	Committed %	Various
3	Pouto Road Phase 2 Upgrade:		\$3,100,000	Committed %	Various
4	Bridges upgrading and identification of bridges utilised by freight users for improvement		\$3,100,000	Committed %	Various
5	Waipoua River Road		\$1,610,000	Committed %	Various
6	Unsealed re-metaling: identification of required sections of the network, obtaining necessary resources and upgrading of identified roads (includes marae access).		\$Commercial Information	Committed %	Various

Please also see attached "Kaipara Kickstart" A3 document page 8

29. Please provide a description of why Government funding is required to deliver this project?

Please refer to rationale in project summary document, and project description in question 15.

30. Please provide an overview of the applicant's relevant skills and experience for delivering projects of this nature:

KDC has experience in delivering various infrastructure projects for the Kaipara. KDC is part of the Northland Transport Alliance and are co-located with Northland Councils and NZTA providing a range of expertise and collaboration opportunities in a single location. KDC has actively sought to limit any risk with this project by engaging with relevant experts to provide the necessary supporting documentation and stakeholder engagement for investment in phase one.

This will guide decision making into stage two of the project, at which point further consideration will be given to how risk in delivery will be minimised in the same way.

KDC will leverage the experience of its management team, along with the experience of its advisors and partners to ensure that the project is delivered efficiently.

KDC's core project management team include:

Mayor KDC
Louise Miller – CEO
Curt Martin – GM KDC
KDC representatives with the Northland Transport Alliance

Please refer to above Bio details in question 19.

31. Please explain the Governance arrangements for this project

Mayor KDC
Louise Miller – CEO
Curt Martin – GM KDC
KDC representatives with the Northland Transport Alliance

In phase one of the project the KDC leadership team will implement the project, with guidance from external advisors /consultants. Phase two of the project will require consultation with Iwi groups, the PDU, and other stakeholders. KDC will continue to engage professional guidance to ensure the project is delivered efficiently and effectively.

There will be an internal project management structure established to oversee and monitor progress on all the successful PGF applications. The governance board would also provide updates to the Council via the quarterly reporting mechanism which currently exists.

In addition to the project management governance there will be wider regional stakeholder engagement that includes, Northland forward together forum made up of Mayors and Chief Executives of Northland as well as Iwi and Northland Inc. Also the Northland Transport Alliance governance group consisting of all Northland CEs would have oversight of the programme.

32. What procurement process has been undertaken (i.e. selection of a provider), or will be undertaken, and how will that be managed?

Council will comply with the current procurement policy and the framework that it operates within as part of the Northland Regional Transport Alliance. KDC have an established tender process that is set out within our policies and procedures and that model would be adhered to. KDC will explore any 'all of government' supplier opportunities during this process.

KDC have chosen its existing professional advisors to manage and provide initial services, and will go to the market for construction services following initial analysis and stakeholder engagement.

KDC's selected advisors have the relevant experience and knowledge required to conduct initial analysis, and stakeholder engagement in the timeframe required.

For the construction phase of the project, KDC will ensure that the procurement policy is followed and appropriate approaches to tendering, evaluation and selection are followed ensuring value is delivered in all areas.

33. What risks are associated with the delivery of this activity?

Phase 1 of the project is a relatively low risk, fixed price proposition which includes:

- Initial analysis and stakeholder engagement
- Feasibility studies
- Replace/upgrade core infrastructure

Initial risks will be identified as part of the analysis and stakeholder engagement phase, as well as through feasibility studies proposed.

Commercial Information

Additional phases of the project will carry more risk than stage one as a more significant investment will be required from the PGF to commission further considerable infrastructure. This will be assessed using the appropriate risk management framework in due course

34. Will the applicant own the asset on delivery?

Yes:

No:

If no, please describe who will own the asset.

KDC will own the road infrastructure.

35. When the project is delivered, what is the plan to operationalise the asset (if an asset), and maintain it through life?

Roading infrastructure will be maintained in the same way that all roads are maintained by KDC.

36. What will the impact be on the applicant's financial accounts?

The funding will be fully utilised to support the projects from inception through to delivery. KDC does not have its own resources to contribute, so will be fully reliant on the PGF funding to complete the projects.

The below information is available on request.

- *Growth forecasts / projections post project completion.*
- *2 years of financial accounts.*
- *Current banking arrangements.*
- *Details of any borrowings (including lender, loan values and loan maturity dates).*
- *Current level of debt and equity and financial Ratios (i.e. Debt to Equity, Debt to Revenue, and Current Ratio).*
- *Insurance provider.*

Part D: Declarations

Commercial Information

- 37. Has this activity ever been declined Crown Funding in the past?
- 38. Is the applicant or the contracting entity insolvent or subject to any insolvency action, administration or other legal proceedings?
- 39. The contracting entity is compliant and will continue to comply with all applicable laws, regulations, rules and professional codes of conduct or practice including but not limited to health and safety and employment practices
- 40. Is any individual involved in the application, the proposed contracting entity or the project, an undischarged bankrupt?
- 41. Is any individual under investigation for, or has any individual been convicted of, any offence that has a bearing on the operation of the project?
- 42. Are there any actual, potential or perceived conflicts of interest that the applicant or any of the key personnel have in relation to this project.
 "In a small country like ours, conflicts of interest in our working lives are natural and unavoidable. The existence of a conflict of interest does not necessarily mean that someone has done something wrong, and it need not cause problems. It just needs to be identified and managed carefully..."
<https://www.oag.govt.nz/2007/conflicts-public-entities>

If you answered "Yes" to any of the above, please provide a description below:

All Legal, Health and Safety and Employment Practices are monitored and quality assured through respective Audit and Risk Processes.

By completing the details below, the applicant makes the following declaration about its application for Provincial Growth Fund funding for the project ("application"):

- I have read, understand and agree to the Terms and Conditions of applying for Provincial Growth Fund funding which are attached as Appendix 1;
- The statements in the application are true and the information provided is complete and correct, and there have been no misleading statements or omissions of any relevant facts nor any misrepresentations made;
- I have secured all appropriate authorisations to submit the application, to make the statements and to provide the information in the application;
- I consent to this application being publically released if funding is approved. I have identified the commercially sensitive and personal information.
- The applicant warrants that it has no actual, potential or perceived conflict of interest (except any already declared in the application) in submitting the application, or entering into a contract to carry out the project. Where a conflict of interest arises during the application or assessment process, the applicant will report it immediately to the Provincial Development Unit by emailing PGF@mbie.govt.nz; and
- I understand that the falsification of information, supplying misleading information, or the suppression of material information in this application, may result in the application being eliminated from the assessment process and may be grounds for termination of any contract awarded as a result of this application process.

Full name:

Louise Miller

Title / position:

Chief Executive – Kaipara District Council

Signature:

Date:

25th January 2019

Appendix 1 – Terms and Conditions of this Application

General

The terms and conditions are non-negotiable and do not require a response. Each applicant that submits a request for Provincial Growth Fund (“PGF”) funding (each an “application”) has confirmed by their signature on the application that these terms and conditions are accepted without reservation or variation.

The Provincial Growth Fund is a government initiative which is administered by the Provincial Development Unit, a unit within the Ministry of Business, Innovation and Employment. Any reference to the Provincial Development Unit in these terms and conditions, is a reference to MBIE on behalf of the Crown.

Reliance by Provincial Development Unit

The Provincial Development Unit may rely upon all statements made by any applicant in an application and in correspondence or negotiations with the Provincial Development Unit or its representatives. If an application is approved for funding, any such statements may be included in the contract.

Each applicant must ensure all information provided to the Provincial Development Unit is complete and accurate. The Provincial Development Unit is under no obligation to check any application for errors, omissions, or inaccuracies. Each applicant will notify the Provincial Development Unit promptly upon becoming aware of any errors, omissions, or inaccuracies in its application or in any additional information provided by the applicant.

Ownership and intellectual property

Ownership of the intellectual property rights in an application does not pass to the Provincial Development Unit. However, in submitting an application, each applicant grants the Provincial Development Unit a non-exclusive, transferable, perpetual licence to use and disclose its application for the purpose of assessing and decision making related to the PGF application process. Any hard copy application or documentation supplied by you to the Provincial Development Unit may not be returned to you.

By submitting an application, each applicant warrants that the provision of that information to the Provincial Development Unit, and the use of it by the Provincial Development Unit for the evaluation of the application and for any resulting negotiation, will not breach any third-party intellectual property rights.

Confidentiality

The Provincial Development Unit is bound by the Official Information Act 1982 (“OIA”), the Privacy Act 1993, parliamentary and constitutional convention and any other obligations imposed by law. While the Provincial Development Unit intends to treat information in applications as confidential to ensure fairness for applicants during the assessment and decision making process, the information can be requested by third parties and the Provincial Development Unit must provide that information if required by law. If the Provincial Development Unit receives an OIA request that relates to information in this application, where possible, the Provincial Development Unit will consult with you and may ask you to confirm whether the information is considered by you to be confidential or still commercially sensitive, and if so, to explain why.

The Provincial Development Unit may disclose any application and any related documents or information provided by the applicant, to any person who is directly involved in the PGF application and assessment process on its behalf including the Independent Advisory Panel (“IAP”), officers, employees, consultants, contractors and professional advisors of the Provincial Development Unit or of any government agency. The disclosed information will only be used for the purpose of participating in the PGF application and assessment process, which will include carrying out due diligence. If an application is approved for funding, information provided in the application and any related documents may be used for the purpose of contracting.

In the interests of public transparency, if an application is approved for funding, the application (and any related documents) may be published by the Provincial Development Unit. Commercially sensitive and personal information will be redacted by reference to the provisions of the Official Information Act 1982.

Limitation of Advice

Any advice given by the Provincial Development Unit, any other government agency, their officers, employees, advisers, other representatives, or the IAP about the content of your application does not commit the decision maker (it may be Senior Regional Officials, Ministers or Cabinet depending on the level of funding requested and the nature of the project) to make a decision about your application.

This limitation includes individual members of the IAP. The IAP's recommendations and advice are made by the IAP in its formal sessions and any views expressed by individual members of the IAP outside of these do not commit the IAP to make any recommendation.

No contractual obligations created

No contract or other legal obligations arise between the Provincial Development Unit and any applicant out of, or in relation to, the application and assessment process, until a formal written contract (if any) is signed by both the Provincial Development Unit and a successful applicant.

No process contract

The PGF application and assessment process does not legally oblige or otherwise commit the Provincial Development Unit to proceed with that process or to assess any particular applicant's application or enter into any negotiations or contractual arrangements with any applicant. For the avoidance of doubt, this application and assessment process does not give rise to a process contract.

Costs and expenses

The Provincial Development Unit is not responsible for any costs or expenses incurred by you in the preparation of an application.

Exclusion of liability

Neither the Provincial Development Unit or any other government agency, nor their officers, employees, advisers or other representatives, nor the IAP or its members will be liable (in contract or tort, including negligence, or otherwise) for any direct or indirect damage, expense, loss or cost (including legal costs) incurred or suffered by any applicant, its affiliates or other person in connection with this application and assessment process, including without limitation:

- a) the assessment process
- b) the preparation of any application
- c) any investigations of or by any applicant
- d) concluding any contract
- e) the acceptance or rejection of any application, or
- f) any information given or not given to any applicant(s).

By participating in this application and assessment process, each applicant waives any rights that it may have to make any claim against the Provincial Development Unit. To the extent that legal relations between the Provincial Development Unit and any applicant cannot be excluded as a matter of law, the liability of the Provincial Development Unit is limited to \$1.

Nothing contained or implied in or arising out of the PGF documentation or any other communications to any applicant shall be construed as legal, financial, or other advice of any kind.

Inducements

You must not directly or indirectly provide any form of inducement or reward to any IAP member, officer, employee, advisor, or other representative of the Provincial Development Unit or any other government agency in connection with this application and assessment process.

Governing law and jurisdiction

The PGF application and assessment process will be construed according to, and governed by, New Zealand law and you agree to submit to the exclusive jurisdiction of New Zealand courts in any dispute concerning your application.

Public statements

The Provincial Development Unit and any other government agency, or any relevant Minister, may make public in whole or in part this application form including the following information:

- the name of the applicant(s)
- the application title
- a high-level description of the proposed project/activity
- the total amount of funding and the period of time for which funding has been approved
- the region and/or sector to which the project relates

The Provincial Development Unit asks applicants not to release any media statement or other information relating to the submission or approval of any application to any public medium without prior agreement of the Provincial Development Unit.

Appendix 2 - Operational criteria for all tiers of the Fund

Link to Fund and government outcomes

- Demonstrate the ways in which the project will contribute to lifting the productivity potential of the region
- Demonstrate how the project contributes to the Fund's objectives of:
 - more permanent jobs
 - benefits to the community and different groups in the community
 - increased utilisation and returns for Māori from their asset base (where applicable)
 - sustainability of natural assets (e.g. water, soil integrity, the health and ecological functioning of natural habitats)
 - mitigating or adapting to climate change effects, including transitioning to a low emissions economy
- Clear evidence of public benefits (i.e. benefits other than increased profitability for the applicant)
- Are in a Government priority region or sector

Additionality

- Project is not already underway, does not involve maintenance of core infrastructure or assets (except for rail and transport resilience initiatives), and does not cover activities the applicant is already funded for (funding could be considered to increase the scale of existing projects or re-start stalled projects)
- Demonstrated benefit of central Government investment or support
- Detail of any supporting third party funding (and any funding sought unsuccessfully)
- Acts as a catalyst to unlock a region's productivity potential
- Demonstrated links to other tiers of the Fund and related projects, to maximise value of Government investment

Connected to regional stakeholders and frameworks

- Evidence of relevant regional and local support, either through existing regional development mechanisms, or through another relevant body such as a council, iwi or other representative group (or reasons for any lack of local support)
- Has been raised and discussed with the region's economic development governance group
- Alignment with, or support for the outcomes of, any relevant regional development plan, Māori development strategy or similar document (whether regional or national)
- Demonstrated improvement in regional connectedness (within and between regions)
- Leverage credible local and community input, funding, commercial and non-commercial partners
- Utilise existing local, regional or iwi/Māori governance mechanisms

Governance, risk management and project execution

- Evidence of robust project governance, risk identification/management and decision-making systems and an implementation plan appropriate to the size, scale and nature of the project
- Future ownership options for capital projects, including responsibility for maintenance, further development, and other relevant matters
- Benefits and risks clearly identified and quantified, depending on the scale of the initiative
- Evidence of potential exit gates and stop/go points, and a clear exit strategy
- Clearly identifies whole of life costs (capital and operating)
- Dependencies with other related projects are identified
- Evidence of sustainability after conclusion of PGF funding
- Adequacy of asset management capability (for capital projects)
- Compliance with international obligations (where relevant)