



A guide to Customary Research: Proposals & Processes

2014-15

MPI Information Paper No: 2014/13

ISBN No: 978-0-478-43273-2 (online)

ISSN No: 2253-394X (online)

June 2014

Disclaimer

Every effort has been made to ensure the information in this document is accurate.

MPI does not accept any responsibility or liability whatsoever for any error of fact, omission, interpretation or opinion that may be present, however it may have occurred.

Requests for further copies should be directed to:

Publications Logistics Officer
Ministry for Primary Industries
PO Box 2526
WELLINGTON 6140

Email: brand@mpi.govt.nz
Telephone: 0800 00 83 33
Facsimile: 04-894 0300

This publication is also available on the Ministry for Primary Industries website at <http://www.mpi.govt.nz/news-resources/publications.aspx>

© Crown Copyright, June 2014 - Ministry for Primary Industries

1	Kaupapa	2
2	Introduction	2
3	Background	3
3.1	Fisheries Planning	3
3.2	Partnership with Māori	3
4	Funding Streams	4
4.1	Science research fund: (contestable)	4
4.2	Customary research funding: (non contestable)	4
5	Customary research funding	5
5.1	Objectives for the customary research fund	5
5.2	Customary Research Fund: Key considerations	5
6	Protection of Intellectual Property	6
7	Two phase application process	6
8	Project Delivery	7
9	Criteria for assessment of funding suitability	7
10	Process for approval	7
11	Funding Decisions	8
	Appendix 1: Approximate timeline for applications to align with fisheries planning process	9
	Appendix 2: Application Form	10

He Tauparapara

Ka ngunguru te Mangōnui waihō kia ngunguru ana

Ka ngunguru te Mangōroa waihō kia ngunguru ana

Ka tatari atu ana ki a Tangaroa whakamau tai

Ka taka mai te āhuru,

Kōia i rukuhia manawa pou roto

Kōia i rukuhia manawa pou waho

Koia i pariparia e nga ngaru tuarangeranga o Hinemoana e

Whakarongo ki te ngunguru a te Mangō

Ngunguru, ngunguru, ngunguruia

Nguruia i runga

Nguruia i raro

Nguruia i roto

Nguruia i waho

Nguruia i te here tangata

Ka rongu te pō

Ka rongu te ao

Nguruia te kawai tangata

I hekea mai

I takea mai

I Hawaiki nui

I Hawaiki roa

I Hawaiki Pāmamao

Ki te hononga wairua

Ki te Wheiao

Ki te Aomarama

Eke panuku

Eke Tangaroa

Haumī e, Hui e.

Tai iki e¹

¹ Tauparapara source: Copyright Kereopa Ratapu 2006

Customary Fisheries Research Fund- 2014-15

1 Kaupapa

The customary research fund was initiated as a result of establishing the Customary Fisheries Regulations². To address provisions in the Customary Fisheries Regulations, Māori requested funding to research traditional and oral information related to customary gathering and traditional practices with regard to mahinga mātaītai and tauranga ika. The customary research fund is available to assist tangata whenua to manage their customary fisheries and to enable tangata whenua who are working towards gazettal, or are currently gazetted, under the Kaimoana Customary Regulations 1998 and the South Island Customary Regulations 1999.

2 Introduction

This guide is designed to inform you of the process and provide general information so that tangata whenua have an understanding of what is required for making customary research proposals and applying for funding.

Ministry for Primary Industries (MPI) staff can assist you in explaining in further detail what is required for submitting proposals and meeting the criteria..

It is divided into two key sections:

- Background information about how fisheries services are planned and partnership with Māori.
- Administration of applications and fisheries planning cycles.

Note that "Proposal" for the purposes of this guide refers to a tender, proposal or submission for a research contract.

² "Customary Fisheries Regulations" refers to the Kaimoana Customary Regulations 1998 and the South Island Customary Regulations 1999

3 Background

3.1 FISHERIES PLANNING

Fisheries plans provide a framework for the annual planning of fisheries services including research, monitoring and management responses.

National Fisheries Plans set out management objectives for New Zealand fish stocks and provide opportunities to participate in the identification and development of services to assess and improve performance against these objectives.

MPI seeks to work with iwi and stakeholder Forums to coordinate this process at a regional and national level, while enabling and supporting management within specific fisheries.

3.2 PARTNERSHIP WITH MĀORI

A number of frameworks have been developed to provide for the input and participation of Māori in management practices in relation to fisheries resources, including provisions to enable:

- Management of customary non-commercial fisheries (customary regulations).
- Input into regional fisheries management (development and operation of Iwi Fisheries Plans and Forum Fisheries Plans).
- Participation in planning and prioritisation of services nationally (engagement with Tier 1 Forums during the annual fisheries plan cycle).

4 Funding Streams

MPI has two funding streams for research on issues relevant to customary fisheries.

1. **The Science research fund:**

This funding pool is within the Fisheries Service Fund, under which scientific investigations can be funded through either crown funding or from levies paid by the fishing industry.

2. **The Customary Research Fund:**

This is a Crown-funded pool of money targeted at the objectives set out in the Customary Research Funding section below.

The science research is fund is administered by the Fisheries Sciences team and the customary research fund is administered by the Inshore Fisheries Management team (both within the Regulation and Assurances. The main differences between the two funding streams are explained below.

4.1 SCIENCE RESEARCH FUND: (CONTESTABLE)

- Study of effects of fishing, stock abundance, structure and health, habitat quality, management effects on stock abundance and structure.
- Research is conducted by registered science providers, and awarded through a tendering process.
- Research projects are peer reviewed through Working Groups, consisting of MPI, industry representatives, research providers and other experts.

4.2 CUSTOMARY RESEARCH FUNDING: (NON CONTESTABLE)

- Studies can include traditional fishing histories, historic catch levels, traditional fishing methods, baseline abundance surveys and effectiveness of customary management measures, or combinations of these.
- Research is often conducted by the group(s) proposing the projects, sometimes in collaboration with a research provider or topical expert.
- Projects to be funded are evaluated and approved by a Customary Research Panel each year.
- MPI staff work with the researchers to ensure a high quality is ensured, including assistance with developing proposals and reviewing draft reports.

5 Customary research funding

The customary research fund is set at a value of \$180,000 per annum to cover a number of projects from submissions across the entire country. Multi-year projects may be funded, but submitters are encouraged to apply for single year funding. Multi-year projects will be assessed on a case by case basis.

5.1 OBJECTIVES FOR THE CUSTOMARY RESEARCH FUND

Strategic objectives for conducting customary research using MPI research funding are listed below. Projects must meet one or more of the objectives to be considered for funding:

- to collate information on fishing practices of Māori that may need to be considered in making fisheries management decisions;
- to assist Māori to manage and measure the outcome of customary practice within their rohe moana that adds to their traditional and customary well-being;
- to determine past levels of Māori customary and traditional harvest levels to aid in the clarification of the relationship between current customary and traditional harvest levels and customary/traditional rights.
- to provide customary fisheries information to enhance and add value to sustainable fisheries management processes.

These objectives are revised periodically, and revisions will be consulted on according to MPI consultation policies.

5.2 CUSTOMARY RESEARCH FUND: KEY CONSIDERATIONS

5.2.1 Alignment of the application process to the annual fisheries planning cycle.

MPI currently formally engages with a number of Iwi in the MPI fisheries planning cycle, with a number of these having established Iwi/Forum Fisheries Plans. Projects with objectives that align with, or have the support of, the MPI's fisheries planning cycle through these established Iwi Forums and Fisheries Plans have a measure of preference (see Appendix). Despite this, applications for customary funding are not limited to, nor intended for the exclusive use of established Iwi Forums, and each project will be evaluated on its individual merits.

5.2.2 Procurement

MPI will assist applicants to develop customary research proposals. However applicants need to have the capacity or relationships with providers to undertake projects to their completion.

In cases where the applicants may require additional assistance to fully address their research questions, MPI may assist applicants in identifying additional expertise (such as through other research providers) that may be of benefit to their research proposal.

The possibility of enlisting external expertise will not undermine the applicant's role as the customary research provider. Any external assistance would be subject to the applicant's agreement and would operate under the applicant's identified project manager, and meet milestones identified by applicants in the research proposal.

6 Protection of Intellectual Property

Some of the information used during research on customary fisheries may involve intellectual property, sensitive, personal or localised knowledge. Customary reports of a sensitive nature will not be provided, published or distributed by MPI without the express consent of the researchers, prior to any such distribution. In these cases, discussions may be had over the terms of this permission, and may include (but is not limited to) consultation on distribution lists and/or the removal of sensitive customary information prior to distribution.

7 Two phase application process

It is proposed that the application process occur over two phases. The first phase should conceptually outline the project and applications should be no longer than four pages.

The **Step 1 application** form sets out the management question and information need that the project aims to address and how the proposed project might fill that gap. Criteria include:

- the level of support for the project (including any support from tangata whenua, such as hapū, iwi or iwi forums);
- how it aligns with iwi management objectives, with reference to relevant planning documents if applicable (i.e Iwi Forum Fisheries Plans);
- how it aligns with the Objectives of the Customary Research Round (as outlaid in section 7);
- how the research outcomes will be used over the longer term;
- feasibility;
- the likely cost/ partnership contribution;
- a brief overview of methods expected to be used, or if unknown then details of the proposed research team and relevant experience of those team members.

If applicants are accepted to Step 2 this requires provision of more detail if necessary about how the project might be carried out, and by whom. MPI staff may be useful in providing assistance. Criteria focus on:

- capability of provider (if known) and proposed key research personnel, detailing the experience of the team members;
- proposed use of agents/sub-contractors;
- more detailed analysis of feasibility and cost. Breakdown of cost and in-kind contributions
- more detailed methodology;
- Background intellectual property (if any) being brought to the project (including who owns it, and any conditions on its use);
- any legal or other consents needing to be obtained for the research to proceed;
- an analysis of risks and any dependencies for the project (events or decisions on which completion of the research depends).

Applicants will be asked to complete the standard MPI Request for Proposal (RFP) document at this stage.

8 Project Delivery

Successful applicants are required to provide timely updates on the research projects, and to submit a draft report within the timeline specified in their proposal. Payment is provided upon the completion of these contractual milestones. Project timelines will include milestones to provide draft reports to MPI for peer review. This is to assist the research providers in developing high quality reports for their purposes.

Researchers submit the final, reviewed copy to MPI, and to the Governance structure/ entity with whom the contract is held. Milestones that enable the transfer of information, such as presentations of research results back to iwi or iwi forums, are generally included and highly encouraged.

9 Criteria for assessment of funding suitability

Projects and the applicant(s) must comply with the following process and criteria:

1. Proposals should be submitted by 15 August each year.
2. Governance structure – the proposal must identify a formal legal entity that will enter into and administer any contract funded by MPI, including the financial governance and management processes and controls of that entity.
3. Applicant(s) must be able to demonstrate written support from the hapū/iwi/marae or group on whose behalf the research is being undertaken.
4. The applicant(s) must supply full contact details of any persons or legal entities named in the proposal, including agents and subcontractors.
5. Applicant(s) must identify any conflicts of interests with the research and/or MPI.
6. Applicant(s) must demonstrate that the persons/agencies proposed to carry out the research project have relevant research skills and experience.
7. Curriculum vitae must be submitted for all researchers involved in the research
8. Applicant(s) must detail appropriate methodology for the proposed research (e.g. recording of oral histories with tapes and transcripts, hapū, iwi tikanga and kawa).
9. Applications must list any Background intellectual property or other property proposed to be used for the research project, and any restrictions or conditions sought on such use.

10 Process for approval

A Customary Research Panel will evaluate the proposals that meet the above criteria. This panel comprises of representatives from:

1. MPI, Regulation and Assurance.
2. MPI, Māori Partnership and Programmes.
3. MPI, Finance, Property and Procurement.

Given the broad range of potential projects, decisions about the appropriate people to include on evaluation panels will be made following receipt of applications. It is important to have both management and technical experts involved, including external experts where appropriate.

11 Funding Decisions

The Evaluation Panel, following a robust evaluation process, will recommend projects to be funded, and these recommendations will be considered by MPI Fisheries Management.

Funding decisions will be notified to the applicant(s) in the following ways:

1. A letter sent to applicant(s) on following evaluation of the proposals.
2. MPI will attempt to contact all applicants by telephone within one week of the funding decision.
3. Details of the successful proposals will be published on the MPI website (www.mpi.govt.nz) within 10 working days of the funding decision.

Appendix 1: Approximate timeline for applications to align with fisheries planning process

JUN	JUL	AUG	SEP	OCT	NOV	Dec	JAN
	Draft proposals	Stage 1 Applications open	Evaluation Step one	Stage 2 Applications	Evaluation Step two		
Discussion of draft list of services(Key Discussion Point #2 with Tier 1 iwi forums)	Confirmation of Annual Operational Plan/ Service delivery discussions (Key Discussion Point #3 with Tier 1 iwi forums)					Identify information needs	Development of Annual Review Report (Key Discussion Point #1 with Tier 1 iwi forums)

Appendix 2: Application Form

Ministry for Primary Industries
Manatū Ahu Matua



Customary Research Proposals PHASE 1 APPLICATION FORM

Guidance Note:

Please ensure you complete all relevant parts of this application. Failure to do so may result in MPI being unable to consider your application. MPI may request further information from you, or clarification of any matters included in this form.

Applicant details

1. Name of applicant:
2. Address:
3. Organisation:
4. List details of organisations/forums involved in development of the proposal and describe their involvement e.g. consulted, supporter(include any MPI involvement):
5. Proposed research provider (if relevant, otherwise state none):
6. Proposed agents/subcontractors (if any)
7. Financial governance and management of research provider. Include all financial governance and management details relevant to this project, including accounting, banking, audit and insurance (insurance needs will be assessed on a case by case basis).

Project Details

<p>8. Project Title: Summarise the project into a Project Title.</p>
<p>9. Project Summary: Provide a short summary of the information needed and how the project would obtain that information. (Refer to section 5.1 in the guidelines and provide explanation of how this project would meet one or more of these objectives).</p>
<p>10. Project Deliverables: What are the specific deliverables of this project?</p>
<p>11. Intended use of the research outputs: Describe the intended use of the information obtained from the research, including whether it will support the uptake/operation of customary fisheries regulations, an iwi or forum fisheries plan, or fisheries management issues, and how these align with iwi objectives?</p>
<p>12. Information sharing/Intellectual Property (IP): Describe any outcomes of the project that could be used, including intellectual property. How will the results be communicated or shared with the supporting tangata whenua? Will the results include involve intellectual property, sensitive, personal or localised knowledge? Are there are restrictions or conditions you wish to place on the use of Background IP, or IP resulting from the research?</p>
<p>13. Timing: Are there specific timeframes when work should be undertaken or constraints in regard to when the research outputs are needed by?</p>
<p>14. Estimated costs (if known): Provide a breakdown of likely costs (if known). Also include any potential contributors including in-kind support.</p>
<p>15. Methodology (if known): Describe conceptually how the project would be approached, identifying likely challenges and how they would be overcome.</p>
<p>16. Skills and expertise of proposed provider (if applicable): Describe the qualifications and expertise of the proposed provider</p>

17. Other

Here you may include any other relevant information to this application that you would like MPI to consider

Conflict of Interest Declaration

I, _____ declare that to my knowledge neither I, nor the applicant organisation, have any actual or potential conflict of interest in relation to the proposal outlined in this application that has not been disclosed to MPI in this application

Signed by:

Name:

Title/position:

Date:

Application Declaration Confirmation

Duly Authorised Agent of the Community of Interest /
Applicant Group:

Name:

Date:

Further information may be sought as part of the evaluation process.

Once completed, proposals should be emailed to:

customaryresearch@mpi.govt.nz

or posted to:

Fisheries Management Team
Ministry for Primary Industries
PO Box 2526
Wellington 6140
New Zealand