

LOTTERY

COMMUNITY SECTOR RESEARCH FUND

Te Tahua Rangahau mo ngā Hapori

Information for Applicants



NZ Lottery Grants Board
TE PUNA TAHUA
Distributor of NZ Lottery Profits

Before applying for funding please read this information sheet. It will help to determine whether your organisation may apply for funding to the Lottery Community Sector Research Committee and how to submit an application. The information sheet also provides a full overview of what Lottery Community Sector Research funds, and your responsibilities should your organisation receive a grant.

Please also read

Lottery Closing and Meeting Dates Schedule

Supporting Financial Documentation Information Sheet

New Zealand Lottery Grants Board General Information Sheet

Please complete and submit

COGS/Lottery Group Registration Form

LCSR Research Idea Application Form

The schedule, information sheet, and registration form can be downloaded from www.cdgo.govt.nz. The *Research Idea Application Form* can be obtained on request by emailing lcsr@dia.govt.nz.

Please call freephone **0800 824 824** during normal business hours for help.

MISSION / TE WHAKATAKANGA

The Lottery Community Sector Research Committee's (Committee) mission is to provide funding for community organisations, enabling them to

- undertake research for the communities they serve
- grow and improve the community knowledge base
- apply new knowledge to their operations
- strengthen the practice of Māori-centred and kaupapa Māori research.

GRANT BENEFITS

The Lottery Grants Board encourages applicants to:

- focus on achieving their own outcomes
- work together to achieve common community outcomes
- be responsive to the communities they serve.

It is expected that all Lottery grants contribute to at least one of the following results:

- supporting volunteers
- enabling people to help themselves
- promoting community wellbeing and addressing disadvantage
- promoting community participation, inclusion and identity.

To ensure that grants provide community benefits, the Lottery Grants Board needs to understand the results grant applicants would like to achieve, how a Lottery grant would contribute to those results and how applicants will know what benefits have been achieved.

WHAT WE MAY FUND

The Committee funds the undertaking and use of research and evaluation by and for community organisations. The Committee has adopted the definition of community organisations used by the Office for the Community and Voluntary Sector. <http://www.ocvs.govt.nz>. Only organisations from the community and voluntary sector are eligible to apply to this Committee.

Please note that the use of the term "research" in relation to this Committee includes evaluation activity. Projects may be funded for up to three years and should include the communication of research findings to other interested parties.

Lottery Community Sector Research grants:

- must provide a benefit to a community within New Zealand
- must contribute directly to the provision of a community benefit of a public nature
- should enable a community benefit that would otherwise not be able to be provided.

Lottery funding is not guaranteed and no application is assured of funding. Preference will be given to applications that identify community needs as well as building community research and evaluation capabilities. Community capabilities may be increased through participatory research or other similar methods.

Preference will also be given to applications that might affect more than one community organisation, geographic community or community of interest.

Priority will also be given to communities that are in a position of disadvantage or are a minority in their region.

There is no restriction on the number and size of grants to be made by the Committee, other than the amount available for grants in any funding round. Applications to fully fund research or evaluation (including equipment) will be considered by the Committee, however, depending on demand; the funds granted may be less than the amount applied for.

The Committee funds community sector research and evaluation projects. Research is the use of a systematic process to provide the answers to questions you might have in your community. Evaluation looks at the quality or value of something such as a project or service to your community. Projects may include both research and evaluation, or focus on one or the other. Examples include

- needs analysis, e.g. finding out what information services elderly residents in your local area need
- evaluative activity, e.g. looking at how you could improve the services you provide to a group of residents
- research using a particular theoretical base, e.g. kaupapa Māori research
- developing best-practice and lessons learnt resources, e.g. guidelines for community organisations to use in their work with refugees and migrants
- collaborative research between community organisations and researchers, e.g. working with youth groups in your region to research the provision of a new service for young people.

The funding of a project by the Committee is not an endorsement by the Lottery Grants Board of its findings.

WHAT WE DON'T FUND

Funding is not available for research or evaluation projects that:

- do not show a benefit to New Zealand communities
- will not make their findings publicly available (unless there are exceptional circumstances)
- the Committee considers to be the responsibility of central or local government or other public entities
- seek to promote commercial, political, or religious objectives, including political advocacy projects, employment and/or business initiatives, or commercial enterprises
- are the responsibility of another Lottery fund
- are retrospective and have been undertaken or completed before the Committee's application closing date
- pay fees for private courses of study
- include project costs which are for debt repayments or debt servicing.

APPLICATION PROCESS

Applications open annually and involve a two stage process.

There is no limit to the number of applications that can be submitted in any funding round. However, the Committee prefers to consider an organisation's national and regional research and evaluation needs as a single application in each funding round. This means that applicants considering undertaking more than one research or evaluation project should either bring them together in a single application or indicate which of their applications has priority.

Applicant organisations without legal entity status cannot be provided with more than \$10,000 in total from all Lottery Grants Board distribution committees in any financial year (1 July - 30 June). Applicants applying

for more than \$10,000 in any financial year must provide evidence of their legal entity status.

Stage One: Submitting a Research Idea

Completed Research Idea Application Forms submitted by 4pm on the closing date will be assessed by the Committee for their alignment with its funding priorities. The Committee will select those that best meet its priorities and invite its selected applicants to submit a Full Research Proposal for further assessment. Receipt of an invitation to submit a Full Research Proposal does not mean that funding will be provided.

Notification of selection

Applicants will be advised if they have been selected to submit a Full Research Proposal within 15 working days of the Committee meeting date.

The Committee's selected applicants will be directed to a range of research organisations, with the potential to be suitable research partners, if applicants have stated in their application form that they require help to find a research partner.

Please note that the Committee will not endorse any agencies or persons to act as partners, and cannot guarantee that a suitable partner will be available. Although some guidance may be provided, the Committee will not be directly involved with any partnership arrangement once a potential partner has been identified. Research or evaluation partnerships are at the sole risk of the partners.

Stage Two: Submitting a Full Research Proposal

Only those applicants who have had their Research Idea selected by the committee can submit a Full Research Proposal. Two referee reports and a declaration by any partners (e.g. professional researchers or evaluators involved with the project) are also required before the Full Research Proposal is considered complete. The Full Research Proposal Application Form, referee report forms and declaration forms will be sent with the Committee's invitation to those applicants selected to submit a Full Research Proposal.

Applicants will have six weeks to complete and return the *Full Research Proposal Application* together with any required supporting documents and a signed *Applicant Agreement* that sets out the conditions grant recipients must meet. In signing this agreement, you agree to allow the Board to audit grant expenditure, and to cooperate with on-site audits and investigations by making available all records and accounts relating to the grant.

The Full Research Proposal must include the following

- an overview of the project giving its objectives
- an explanation of the project design, methodology, tools and techniques to be used
- a description of the project team carrying out the research, including roles and responsibilities assigned to team members, their names and proof of their capabilities and experience
- an explanation of how any ethical and cultural requirements will be met
- a description of the project governance structure and planned interaction with research or evaluation partners or other organisations
- a description of the quality assurance process
- a detailed budget showing how any funding provided would be spent
- a detailed timeline, showing project milestones.

The Committee may, at its discretion, refer applications to an independent expert for peer review.

Applicants requesting grants over \$50,000 will be expected to provide more detailed information on their project in their Full Research Proposal.

Funding Priorities

Funding decisions will be made on the basis of the relative merits of each application received in a funding round. Applications will be assessed to determine if they

- identify and address a clear community need for research or evaluation
- enhance community sector research or evaluation capabilities
- provide useful research or evaluation outputs to the community
- have regard to the needs and aspirations of Māori
- have regard to the needs of older people, Pacific people or other ethnic communities, women, youth, or people with disabilities
- demonstrate that the applicant is capable of successfully completing the research or evaluation
- should be funded by other sources
- provide value for the level of investment.

Applications for more than \$50,000 will also be considered against

- the value to the community
- the impact on the applicant and relevant community if funding is not provided
- the benefit realised by similar projects in the past
- the impact on the Committee's budget or implications for future funding rounds.

Notification of decision

You will be advised of the result of your application within 15 working days of the Committee meeting date. The Committee's funding allocations will also be made public.

Payment Conditions

If your application for a grant is successful, payment may be made conditional on the successful completion of agreed milestones.

RESEARCH CONDUCT

Good practice

In order for the research or evaluation activity to be carried out to a high standard, processes need to be in place to ensure that

- researchers or evaluators interact appropriately with community participants
- applicants and their partners have an appropriate level of experience
- appropriate data collection methods are used
- the findings are reported back to the community.

Applicants and their partners are expected to follow good practice research and evaluation guidelines. Full Research Proposals must show how the project will comply with the appropriate principles.

Ethics and culturally responsive research and evaluation

Many of the research or evaluation proposals submitted will involve interviewing people, asking them to fill out questionnaires or observing their behaviour.

Projects that involve people must be carried out according to accepted ethical practices; ensuring that the people who take part are treated with respect, are informed about the project, give their consent to participate and are not harmed as a result of the project.

Any issues related to ethics and cultural appropriateness must be raised in the *Research Idea Application Form* and explicitly addressed in the Full Research Proposal. For advice on good practice, please refer to the following websites

- Social Policy Evaluation and Research Committee www.spear.govt.nz
- Association of Social Science Researchers www.assr.rsnz.org
- The Clearing House www.communityresearch.org.nz
- CommunityNet Aotearoa www.community.net.nz

WHAT WE REQUIRE OF YOU

Accountability requirements

Grant recipients must

- use the grant only for the Full Research Proposal for which the grant was given, and meet any conditions imposed by the Committee
- repay any grant funds spent on anything other than the Full Research Proposal for which the grant was given
- return any left over funds once the project is complete.

In order to provide assurance that Lottery funds are being spent on approved outcomes, the Committee requires grant recipients to

- account for grant spending as a separate entry in their financial accounts
- complete a final accountability report at the conclusion of the project, when the grant has been fully spent, or at the expiry of the grant, whichever is sooner.

A copy of your organisation's annual accounts will be required with the Full Research Proposal and accountability report(s). Please refer to the Supporting Financial Documentation Information Sheet for details on what we require.

Promoting Lottery Grants Board support

Grant recipient groups must acknowledge the Lottery Grants Board's support in publicity materials, such as research seminar programmes, and annual reports.

Information about grant recipients may be used in publicity material by the Lottery Grants Board or the New Zealand Lotteries Commission.

Information disclosure

Applicants should be aware that application information may be released, if required, under the Official Information Act 1982. After 10 years, all applications will be transferred to Archives New Zealand, where they will be available to members of the public.

RESEARCH AVAILABILITY

It is expected that the results of any funded research or evaluation will be made publicly available, unless there are exceptional circumstances. It is the responsibility of funding recipients to ensure that their work is in a form suitable for public release.

Funding recipients are also obliged to ensure that the confidentiality of any personal or otherwise confidential data that they receive is maintained

and that any community or other ownership of intellectual property is respected.

Aside from the requirement to make the research or evaluation results publicly available, ownership of any intellectual property developed from funded activity will vary depending upon the form of the agreement between the applicant, their community, and any service provider that might be involved.

The Lottery Grants Board and the Committee disclaim liability for the dissemination of any research or evaluation findings or other material considered to be defamatory.

SUBMITTING YOUR APPLICATION

The postal address for all documentation is

Lottery Community Sector Research Committee
The Department of Internal Affairs
PO Box 805
WELLINGTON 6140

The street address (for courier or personal delivery) is

Lottery Community Sector Research Committee
c/- Reception
The Department of Internal Affairs
Level 7
22 The Terrace
WELLINGTON

Applications must reach the Department of Internal Affairs by 4pm on the closing date, regardless of the method of delivery. Faxed application forms and/or accompanying documentation will not be accepted. Applications submitted after the closing date and time are unlikely to be accepted.