



**APPLICANT GUIDE**  
**PRIVACY GOOD RESEARCH FUND**  
**2019**

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## Purpose of this Guide

This guide is designed to help applicants prepare an application for funding from the Privacy Good Research Fund. The Privacy Good Research Fund is a joint research fund made available by the Office of the Privacy Commissioner (OPC), with funding contributions from the International Association of Privacy Professionals (iappANZ) Legacy Fund, and the Social Investment Agency (SIA). Specific instructions for completing the application form as well as information about the assessment process are provided.

### 1. Eligible applicants

Academic institutions, non-profit organisations including education institutions, industry and trade associations, consumer, voluntary and advocacy organisations and for-profit organisations are all eligible applicants. Applications from individuals are welcome.

### 2. Non-Eligible applicants

Persons or organisations where the grant of funds would impact on the independence of OPC or where the person or organisation would have a conflict of interest with OPC or a funding partner.

### 3. Application date

The deadline for applications is 9 September 2019 (17:00 New Zealand time).

The application should be addressed to “Coordinator, Privacy Good Research Fund.” Please ensure you provide a single complete set of relevant documents. Applications may be emailed to: [researchprogramme@privacy.org.nz](mailto:researchprogramme@privacy.org.nz) or posted to:

Coordinator, Privacy Good Research Fund  
Office of the Privacy Commissioner  
PO Box 10-094  
The Terrace  
Wellington 6143  
NEW ZEALAND

For all enquiries, email: [researchprogramme@privacy.org.nz](mailto:researchprogramme@privacy.org.nz)

**Note:** All information requested in the Guide and Application Form must be received by the Office before an application is considered complete.

### 4. Privacy Good Research Fund budget

The total amount available under the Privacy Good Research Fund for 2019/20 is \$75,000. This amount is subject to cancellation, reduction or increase at the discretion of OPC.

The maximum amount that can be awarded for any single research project is \$25,000. Applicants are only eligible to receive funding for one project per financial year.

# Privacy Good Research Fund

## 1. Programme objectives

The objectives of the Privacy Good Research Fund are:

- To capitalise existing privacy research capacity in academic and non-profit sectors;
- To generate new knowledge and support the development of expertise and innovation in selected areas of privacy and data protection;
- To increase awareness and understanding among individuals and organisations across New Zealand of their privacy rights and obligations; and
- To promote uptake and application of research results by relevant stakeholders.

## 2. Eligible projects

Projects will only be considered for funding if they will benefit the privacy of New Zealanders. Applications from individuals, students and community groups are welcome, as are applications from others in the wider research community.

## 3. Research priority areas

The purpose is to stimulate privacy research in various disciplines. Research proposals touching upon any aspects of privacy are encouraged. Applications for research projects that develop new privacy-related knowledge, provide practical solutions, or promote innovation are welcome.

The PGRF also welcomes research that will support organisational experiences in improving practice in data privacy and ethics, using the Data Protection and Use Policy (DPUP) as the implementation example, see: <https://sia.govt.nz/investing-for-social-wellbeing/data-protection-and-use/>

The SIA has a dedicated portion of funding to apply to this area. For further information, see <https://www.privacy.org.nz/further-resources/privacy-research/>

## 4. Project to include detailed methodology

Proposals submitted to the Privacy Good Research Fund can be qualitative and / or quantitative in nature. In all instances, the Fund seeks proposals that demonstrate sound methodology. The applicant should provide a detailed description of the research methodology. Where applicable, applicants should provide a detailed list of stakeholders they intend to survey / interview and the survey method and instruments they intend to use.

## 5. Duration of projects

The Privacy Good Research Fund is structured to provide funding for eligible expenses that are incurred within the same financial year that funds have been awarded, i.e., between the time both parties sign the Privacy Good Research Agreement and 30 June 2020. Incurred expenses must have been paid by the recipient before they are invoiced to OPC.

Exceptionally, OPC may fund projects that extend beyond the end of the financial year if the proposal persuasively demonstrates why the research requires more time to be completed and should be funded beyond the typical one-year period. For multi-year proposals, applicants are requested to submit work plans that cover the entire duration of the project.

## 6. Allowable expenses

Funds may be used only for expenses directly related to the activities of the project. These activities must be reflected in either the original budgetary submission, or via subsequent approved budgetary adjustments. Expenses could include:

- Personal costs and benefits for members of the project team, inclusive of researchers and research assistants, students, postdoctoral fellows, technical support, etc.;
- administrative costs, secretarial assistance and publication costs;

- contract costs for expertise not available in-house or work not reasonably performed in-house (for example surveys); and
- other costs including travel, workshops, materials and supplies, and communications,

OPC will not support any expenses incurred prior to, or after completion of, the funding period stipulated in a Privacy Good Research Agreement. OPC will not support any expenses that have not been paid by the recipient before they are invoiced to OPC.

Other ineligible expenses that will not be funded under the Agreement include the purchase of buildings, land, vehicles and most other major capital costs.

Indirect administrative expenses (i.e. overhead) should be limited to no more than 15 percent of the total project expenses incurred under the Privacy Good Research Agreement.

Funding awarded to an applicant is subject to the terms of the Privacy Good Research Agreement signed by the applicant and OPC. Funds must be spent only on the project and cannot under any circumstances be diverted to any other use. Expenses associated with the project are subject to audit.

## **PRIVACY GOOD RESEARCH FUND 2019**

**Application form available at:**

**[www.privacy.org.nz/further-resources/privacy-research/](http://www.privacy.org.nz/further-resources/privacy-research/)**

**Project budget (Eligible Costs) form available at:**

**[www.privacy.org.nz/further-resources/privacy-research/](http://www.privacy.org.nz/further-resources/privacy-research/)**

## Completing the Application

The following information corresponds to each section of the application form. You should provide answers to all questions and include any required detailed information in an appendix to the application form.

### 1. Details of applicant

- Provide the full name of your organisation along with any abbreviations frequently used, as well as the unit or division name undertaking the research;
- Confirm the legal status of your organisation;
- Postal and physical address, telephone number (with extension) and e-mail/website address, where applicable.

### 2. Key project details

- Provide key information about the proposed research, including title and overall amount of funding sought.
- Principal researcher – the name of the individual undertaking or leading the research.

### 3. The proposal

Applicants must provide a project proposal which, once agreed to by OPC, will serve as a basis for the Agreement and cash flow. The project proposal should contain:

- Contact information – organisation name, postal, physical and billing address, telephone number and e-mail address of the applicant's authorised representative, names of principal personnel and project administrators. Please include contact information for the principal researcher (where this is not the applicant), and the finance / accounts contact person.
- Organisational background – background of the organisation including its mandate, objectives, and accomplishments.
- Previous financial support – an indication of any previous financial support received from OPC including the amount, the year when the funding was provided, the purpose of the funded activity and the results achieved.
- Project description – a detailed project description including project title, goals and objectives, identification of the target groups for the proposed project, identification of the anticipated results and expected benefits for New Zealand in terms of the creation and application of new knowledge in the area of privacy and data protection. A list of deliverables for the project should also be provided. One deliverable should be a report or resource that can be published on the OPC website and may be published on websites of the funding partners. OPC and the funding partners reserve the right not to publish the report on their websites.
- One-page summary – a concise 250-word summary of the proposed project that can be used for the Privacy Good Research Agreement.
- Timeline and monitoring – timeframe, work plan detailing activities to be undertaken to support the project objectives and monitoring activities. Please include details of when the two interim progress reports will be provided as part of this timeline.
- Budget – a detailed budget of the project including amount(s) being requested from OPC and other proposed sources of revenue, including in-kind support. Applicants must use the form Project Budget (Eligible Costs). Applicants should provide detailed information explaining each

amount entered including personal costs and benefits; travel expenses; telecommunications; contractual services; materials and supplies; rentals (e.g. equipment and meeting rooms) and other expenses.

- Community involvement and support – where appropriate, an indication of the level of community involvement (commitment, endorsement, scope and level of participation, co-operation and volunteer involvement).
- Local / regional support – where appropriate, an indication of the degree of local and regional support for the project (cash and / or in-kind).
- Knowledge dissemination activities – a plan for disseminating research results and enabling their uptake and application by relevant end-users (e.g. targeted stakeholders, organisations, industry associations, individuals, consumers, communities, educators, journalists, and / or the general public). One activity may include permitting OPC and funding partners to republish any report or resource on their websites.
- Acknowledgement of funding – an indication of how the project will acknowledge the financial support of OPC and funding partners to the project.

#### **4. Declarations**

Applicants must answer the questions in the application form regarding any conflict of interest.

#### **5. Other sources of funding**

Applicants may seek other sources of funding for proposed projects. Potential recipients are required to disclose all sources of funding for a proposed project when applying for funding from OPC. However, the maximum level of public funding for the same purpose and eligible expenses must not exceed 100 percent of the eligible expenditures. This should include applications for financial assistance which are still pending.

In the event that total funding received for the project exceeds the cost of the project, the recipient will reimburse OPC on a pro-rata basis.

# Assessment Process

Each request for financial support will be reviewed to determine the quality, relevance, timeliness, feasibility and expected outcomes/benefits of the proposed project. Applicant organisations and applications for funding will be reviewed in accordance with the general programme objectives as well as the specific eligibility criteria as outlined above and described below.

In assessing proposals, OPC may engage its funding partners and, where appropriate, consult with other government agencies and stakeholders. OPC may also involve independent external reviewers.

While the time taken for this assessment may vary depending on the number and quality of applications, applicants can expect to receive a response advising them of the outcome of their application within 4-6 weeks. If the assessment process takes any longer than this, for any reason, applicants will be advised of this within 4 weeks of the deadline closing.

The following assessment factors are relevant:

Criteria	Evaluation Questions
<b>General Quality</b>	What is the overall quality of the proposed project?
	What is the overall originality of the proposed project?
	Does the proposal demonstrate a solid understanding of the relevant privacy issues?
	Are the proposed methods appropriate to achieve the stated deliverables?
	Are the proposed methods likely to produce reliable research findings and/or new knowledge?
	Are the proposed methods likely to produce effective results in accordance with stated objectives?
	Does the applicant have the requisite expertise, knowledge and track record to carry out the proposed project?
	In the case of an organisation, has it demonstrated the necessary credibility, accountability and reputation to successfully carry out the proposed project?
	Does the research team integrate the various disciplinary perspectives/approaches needed to realise the project?
	Is there an effective strategy in place to consult or collaborate with key stakeholders, where needed, to validate and/or improve upon the quality of research results?

<b>Relevance</b>	Is the proposed project aligned with stated objectives/strategic focus?
	Are the expected deliverables timely and relevant?
	Are the expected deliverables responsive to the needs of New Zealand?
	Are the expected outcomes of the project likely to be useful for relevant stakeholders (e.g. policy makers, organisations, industry associations, consumer groups, the general public, etc.)?
<b>Feasibility</b>	Is the amount of money requested to carry out the proposed project reasonable and are the estimated costs realistic given the nature and scope of the project?
	Has the applicant demonstrated the ability to manage the project and deliver results on time?
	Is the scope of the proposed project feasible and likely to be accomplished in terms of expected deliverables and timeframes?
<b>Expected Outcomes and Benefits</b>	Will the proposed project advance the creation and application of new knowledge in promoting increased awareness of privacy issues and enhancing protection of privacy in New Zealand?
	Is there a clear and effective strategy for engaging key stakeholders throughout the project and for disseminating project deliverables to relevant audiences and/or the public at large?
	Is there a clear and effective strategy for transforming project outputs/deliverables into usable outcomes and enabling relevant end-users to apply them in practice?

## Control Procedures

### 1. Privacy Good Research Agreement

On approval of a request for a funding, a detailed Privacy Good Research Agreement (referred as 'the Agreement') will be drawn up and signed by the recipient and OPC on behalf of the funding partners. The Agreement is between the recipient and OPC regarding the amount of funding awarded, in consideration for specific deliverables to be completed.

By accepting funding, the recipient agrees to carry out the funded project, to be responsible for realising all deliverables specified in the Agreement, and to be accountable for the amounts received. As consideration, OPC agrees, subject to conditions stipulated in the agreement and to renewal of the programme by OPC, to fund all or part of the project's costs.

As specified in the Agreement, the recipient cannot make material changes to the scope of the project (e.g. significantly changing or dropping a deliverable or reallocating significant amounts of money from a budget line item to another) without the prior written consent of OPC.

### 2. Reporting requirements

By signing the Agreement, the recipient agrees to submit progress and financial reports, as specified in the Agreement for the duration of the project.

OPC reserves the right to publish the name of the recipient, a summary of the project, as well as the amount of the funding awarded in any manner it deems fit including, but not limited to, posting on OPC's website and websites of the funding partners.

Recipients of funding under the Privacy Good Research Fund may also be surveyed after the completion of the project (up to 36 months later) about further related work or follow up activities in an ongoing effort to evaluate the impact of the research and the value of the Privacy Good Research Fund.

Recipients agree to participate in public workshops to explain results. OPC will bear the costs of travel and provide suitable accommodation to the recipients.

### 3. Method of payment

Payment will be made on the following schedule:

- 40% on receipt of the signed agreement
- 20% on receipt of first progress report
- 20% on receipt of second progress report
- 20% on receipt of final report

Payments will be made on the basis documented claims for reasonable eligible costs incurred and paid, to be submitted by recipients as per the Agreement. OPC is unable to make any payment to recipients prior to receiving an invoice for eligible costs that have been incurred.

Payment will be processed using a direct deposit to the recipient's bank account, and the recipient will be asked to provide banking information to OPC for deposit purposes.

Funds are normally awarded for specific projects on an annual basis. In the case of projects extending over more than one year, payment is subject to the appropriation of funds by OPC, and satisfaction of review and reporting requirements by the recipient, in accordance with the terms and conditions of the Privacy Good Research Agreement.

#### **4. Public acknowledgement and recognition**

The recipient shall acknowledge the Fund's support to the project in all materials, whether written, oral or electronic, used to describe the project to the public and within his/her own community. OPC, funding partners, or designated representatives, will be given the opportunity to participate in a public announcement of the project.

The Privacy Commissioner retains the right to approve the use of any reference to OPC or any associated branding in any material created by the recipient as part of their project.

#### **5. Audit Requirements**

According to the Agreement, the recipient shall keep proper accounts and records of revenues and expenses received in connection with the funded project for at least six years after completion of the project. Such accounts and records shall be open to audit and inspection by OPC to ensure compliance with the terms of the Agreement. OPC may make copies and take extracts at all reasonable times for a period of three years after completion of the project.

OPC may request at any time that recipients provide satisfactory evidence to demonstrate that all eligible costs claimed have been paid.

#### **6. Payments**

Where for any reason:

- a recipient is not entitled to the fund, or
- the amount of the fund exceeds the amount to which the recipient is entitled, or
- a recipient is late in submitting a deliverable as per the terms of the Agreement, or
- a recipient fails to submit one or more deliverables as per the terms of the Agreement, or
- a recipient submits deliverables that are incomplete or unsatisfactory in relation to the terms of the Privacy Good Research Agreement,

OPC may, at its discretion, withhold payment, or a portion of the total amount awarded to the recipient for the project, or require the recipient to repay all or part of the advances or interim payments to OPC, those amounts being a debt due to OPC.

## **Access to Information**

The information provided to OPC as part of the application is subject to the Privacy Act and Official Information Act and may be released in accordance with those statutes.