

# Applicant Guide to the Waste Minimisation and Innovation Fund



## CONTENTS

<b>Section 1</b>	<b>Vision and purpose</b>	<b>Pg 3</b>
<b>Section 2</b>	<b>Funding outcome areas</b>	<b>Pg 5</b>
	- Priority waste streams	
<b>Section 3</b>	<b>Who can apply?</b>	<b>Pg 6</b>
	- Eligibility criteria	
<b>Section 4</b>	<b>What funding is available?</b>	<b>Pg 7</b>
<b>Section 5</b>	<b>What can you apply for?</b>	<b>Pg 7</b>
	- WMIF does not fund	
<b>Section 6</b>	<b>General funding requirements</b>	<b>Pg 8</b>
	- Other considerations	
<b>Section 7</b>	<b>Filling out the application form</b>	<b>Pg 8</b>
	- Supporting information	
<b>Section 8</b>	<b>Video application requirements</b>	<b>Pg 9</b>
	- Video questions	<b>Pg 10</b>
<b>Section 9</b>	<b>Grant uplifting and reporting requirements</b>	<b>Pg 11</b>
<b>Section 10</b>	<b>Submitting your application</b>	<b>Pg 12</b>
	- Application closing date	
	<b>What happens once you have sent your application form?</b>	
<b>Section 11</b>	<b>Application assessment criteria</b>	<b>Pg 13</b>

## Waste Minimisation and Innovation Fund Guidelines

The Waste Minimisation and Innovation Fund (WMIF) is a grant scheme established as one of the key initiatives of the Auckland Council's Waste Management and Minimisation Plan (WMMP).

The WMMP can be accessed on the Auckland Council website by searching for 'Waste Management and Minimisation Plan' or using the following address:

<https://www.aucklandcouncil.govt.nz/plans-projects-policies-reports-bylaws/our-plans-strategies/topic-based-plans-strategies/environmental-plans-strategies/Pages/waste-management-minimisation-plan.aspx>

The broad aim of the fund is to support initiatives that will help achieve the vision, targets and strategic objectives of the WMMP. The fund has a specific focus on seed funding new initiatives – including developing business and community-based resource recovery centres and programmes.

The fund is open to community groups, businesses, mana whenua, mataawaka, educational institutions and other organisations operating in the Auckland region.

The fund has \$500,000 to distribute annually, with one funding round per year for grants between \$1,000 and \$50,000.

### 1. Vision and purpose

The Waste Minimisation and Innovation Fund supports the vision, targets and strategic objectives of the Waste Management and Minimisation Plan.

#### Vision of the Waste Management and Minimisation Plan 2018

Auckland has a long-term aspirational goal of Zero Waste by 2040, taking care of people and the environment, and turning waste into resources.

#### Targets:

- **Total regional waste**
  - Reduce total council- and private-sector-influenced waste to landfill by 30 per cent by 2027 (from the baseline of 832kg to 582kg per capita per year)
- **Domestic waste**
  - a. Reduce domestic kerbside refuse by 30 per cent by 2021 (from 160kg to 110kg per capita per year)
  - b. After 2021, reduce domestic kerbside refuse by a further 20 per cent by 2028 (from 110kg to 88kg per capita per year)
- **Council waste**
  - a. Reduce council's own in-house office waste by 60 per cent per capita by 2024 (from a 2012 baseline)

- b. Work across council to set a baseline for operational wastes and, by 2019, put in place targets for reduction.

### **Strategic objectives:**

- reducing Auckland's reliance on landfills
- achieving operational efficiencies in domestic waste and recycling services
- reducing harm from waste
- restricting organic waste going to landfill
- developing an infrastructure and processes to maximise resource recovery
- reducing council's responsibility for dealing with end-of-life consumer products and packaging through appropriate advocacy
- maximising local economic development opportunities e.g., jobs created by diverting waste from landfill
- reducing litter and illegal dumping and related costs.

### **Purpose of the Waste Minimisation and Innovation Fund**

The WMIF has been established to disburse a portion of the funds allocated to Auckland Council from the national waste levy (currently set at \$60 per tonne for municipal waste). Half of the total revenue generated from the levy is allocated to territorial authorities on a population basis. This money must be spent on promoting or achieving waste minimisation as set out in local authorities' Waste Management and Minimisation Plans (WMMPs). The other half, less administration costs, is allocated to waste minimisation initiatives<sup>1</sup>, through the Waste Minimisation Fund, which is run by the Ministry for the Environment.

Local authorities may use funds from their allocation to promote or achieve waste minimisation as set out in the WMMP in accordance with section 47 of the Waste Minimisation Act 2008<sup>2</sup>.

The Auckland Council WMMP<sup>3</sup> established the purpose of its Waste Minimisation and Innovation Fund to:

- promote or achieve waste management and minimisation
- reduce waste to landfill in accordance with the objectives of the WMMP
- foster new ideas and encourage community participation in reducing waste to landfill.

The WMIF is primarily intended to provide seed funding to encourage and enable creative reuse and recovery and generate economic opportunities.

## **2. Funding outcome areas**

Auckland Council wants to target priority waste streams, reduce harm to the environment and improve efficiency of resource use. The WMIF aims to do this by supporting new initiatives that

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<sup>1</sup> MfE, Waste Minimisation Fund Guide for Applicants, website August 2018

<sup>2</sup> Waste Minimisation Act 2008, Section 47 (Grants)

<sup>3</sup> Auckland Council Waste Management and Minimisation Plan, June 2012

complement and enhance existing programmes or address gaps or opportunities. Funding is allocated through four outcome areas:

- resource recovery initiatives and facilities
- commercial waste
- organic waste
- community action and behaviour change.

## **Resource recovery initiatives and facilities**

Development of a regional Resource Recovery Network (RRN) is a priority for Auckland's long-term aim to achieve Zero Waste by 2040. The RRN will provide an infrastructure that supports maximum resource recovery as well as providing local business and employment opportunities. A specific focus is the development of community and business operated resource recovery facilities.

## **Commercial waste**

Supporting business waste minimisation is a key initiative of the WMMP. The long-term target of the WMMP is to reduce total waste to landfill by 30 per cent by 2027, and as commercial waste (waste not controlled by the council) makes up 83 per cent of all waste sent to landfill in Auckland, supporting business waste minimisation is a priority. The council is seeking ways to encourage development of innovative solutions for commercial waste, particularly construction and demolition waste (concrete, timber, plasterboard, insulation materials etc).

## **Organic waste**

Organic waste (food scraps and green waste) makes up about 50 per cent (by weight) of domestic waste sent to landfill. As such, reducing organic waste is a priority for achieving Auckland's Zero Waste goal. Auckland Council will be introducing a kerbside collection of food scraps for households in urban areas in 2023. Initiatives that complement this service and/or enable local composting will be eligible for funding. Projects could look at reducing domestic and commercial green waste to landfill like community gardens, which have composting/mulching practices, or innovative ways to process organic waste.

*Please note that if you are applying for a project relating to composting, you will need to show relevant compliance with the Auckland Unitary Plan, resource consenting needs and, where applicable, NZ Composting Standard NZS4454.*

## **Community action and behaviour change**

Fostering new ideas and encouraging community participation in reducing waste to landfill is a key direction of the WMMP and a priority in the lead up to introducing the food scraps collection. Building community capacity for waste minimisation will be important in ensuring all Aucklanders have access to the information, education and support they need to reduce the amount of waste they send to landfill. The aim is to create enduring change in community behaviour and attitudes towards waste.

### Priority waste streams

The fund will have focused priority waste streams that will be updated on the grant page every year prior to grant round opening. This will focus applications to align with priority waste streams identified by Ministry for the Environment under the national Waste Minimisation Fund.

## 3. Who can apply?

The fund is open to community groups, businesses, mana whenua, mataawaka, early childhood centres, schools, tertiary organisations and other community-based organisations operating in the Auckland region.

### Eligibility Criteria

- Only waste minimisation projects are eligible for funding. Projects must promote or achieve waste minimisation. Waste minimisation covers the reduction of waste, and the reuse and recycling and the recovery of materials or energy for further use or processing.
- The scope of the fund includes educational projects that promote waste minimisation activity only, but not general environmental education programmes.
- The fund does not cover projects that focus on waste disposal or on the treatment of wastes for disposal/clean ups.
- Projects must result in new waste minimisation activity, either by implementing new initiatives, or a significant expansion in the scope or coverage of existing activities.
- Funding is not for the ongoing financial support of existing activities, nor is it for the running costs of the existing activities of organisations, individuals or firms.
- Projects may be for a discrete funding timeframe of one year, after which the project objectives should have been achieved and, where appropriate, the initiative has become self-funding.
- Funding can be used for operational or capital expenditure that is required to undertake a project.
- The applicant must be a legal entity or fall under an umbrella legal entity.
- The fund will cover up to 50% of the cost of the project. Applicants will need to demonstrate adequate sources of additional funding from their own or other resources, or in kind.

## 4. What funding is available?

The scheme will have an annual \$500,000 funding pool. If funds are not fully allocated in one year, they will roll over into the following year.

Sub-categories for funding allocation are:

Category	Grant Range	When to apply
Small and simple projects	From \$1,000 - \$5,000	August
Medium projects	From \$5,001 - \$25,000	
Large projects	Grants over \$25,000	

The maximum amount that can be funded is \$50,000 per project, but larger projects may be considered on merit at the discretion of the council.

All decisions made by Auckland Council relating to a funding application will be final. An applicant may, however, apply to a future funding round.

### One-off project funding

- Grants will only be released after receipts have been provided to Council, unless by prior arrangement.
- Grants are intended to provide short-term start-up funding to organisations and groups for projects or initiatives for a specific purpose or outcome.
- The recipient is required to fulfil accountability obligations at regular intervals, or following completion of project or initiative, as appropriate.

## 5. What you can apply for?

The following list provides examples of acceptable activities:

- feasibility studies and business cases
- infrastructure design and development
- materials/equipment and plant
- skills development
- trials and pilot programmes
- education programmes
- workshops, neighbourhood meetings, neighbourhood mentoring and social learning
- monitoring and surveys
- research and development that is not aimed at supporting the attainment of a qualification
- project execution/implementation costs.

### The WMIF will not fund:

- projects that are inconsistent with Auckland Council's Waste Minimisation and Management Plan 2018
- projects that do not involve waste generated from within the Auckland region
- retrospective projects where the funding sought is for work already completed
- debt servicing
- activities which duplicate other demonstration projects or pilot studies.

Auckland Council cannot commit to ongoing financial support, and the award of a grant does not entitle the recipient to any future grant.

## 6. General funding requirements

Successful grant applications must:

- support the vision, targets and strategic objectives of the Council's WMMP 2018
- lead to measurable waste minimisation outcomes
- take place within and/or benefit the Auckland region.

### Other considerations

- Grants will not be subject to GST. Costs must be listed exclusive of GST. If a group or organisation is not GST registered, the council will make the necessary adjustments to the funding application. Transport and freight costs should be included, if applicable.
- Generally, to receive funds applicants are expected to be actively involved in the project and make a contribution to resourcing the project. This could include providing materials, in kind labour or a financial contribution. It is important to include this contribution on the application form.
- Successful applicants must complete and sign the Terms and Conditions of the contract before the release of funds.
- Unless otherwise agreed, projects must have started within three months of approval of funding and progress must be completed within 12 months of receipt of funding.

## 7. Filling out the application form

Applications will only be accepted through the funding website, [Smartygrants](#) (access to the online application form will become available on the first day of the next funding round). Hard copy and PDF applications are no longer accepted.

Applicants for medium and large grants are required to apply for funding by filling out the medium-large grant application form on Smartygrants.

Applicants for small grants have the choice to apply for funding EITHER by filling out the small grant application form on Smartygrants OR *using a two-step method that consists of filling out a shorter small grant application form on Smartygrants and submitting a video, uploaded to YouTube* (See Section 8 for more details).

Only complete applications will be accepted so please make sure you answer all questions in the application form, meet all the conditions, and include all the necessary information, including providing any supporting documents that are required (such as consenting requirements, health and safety plans, composting standards, traffic management plans, standard operating procedures etc). Failure to do so may result in funding not being allocated to you.

Support is offered to applicants through a series of workshops held either online or in-person, or a combination of both. These are scheduled weeks before applications open. (e.g., If the grant round begins in August, workshops are held in July). Notifications are sent to recipients via email. If you would like to be updated, please email us on [aucklandwastefund@aucklandcouncil.govt.nz](mailto:aucklandwastefund@aucklandcouncil.govt.nz) and we will add you to our contact list.



Complete the checklist at the end of the application form to make sure you have included all of the necessary information and met all the conditions.

### Application supporting information.

The application form for medium and large grants refers to additional supporting documents (these are only required for large grants but may be requested for medium grants on a case-by-case basis).

The following table provides definitions for these.

Document	Guidance
<b>Feasibility study</b>	<p>The Council needs to ascertain if the idea will work and if it is feasible. A feasibility study is written before the business plan to identify how, where and to whom you intend to sell the related service or product. Feasibility studies:</p> <ul style="list-style-type: none"> <li>• assess competition.</li> <li>• calculate how much money an organisation needs to start the project and keep it running until it is established.</li> <li>• provide in-depth detail about the business to determine if and how it can succeed.</li> </ul> <p>It should include an overview of the business and the market, and technical and financial details regarding the project.</p>
<b>Business plan</b>	<p>A business plan provides:</p> <ul style="list-style-type: none"> <li>• skills and experience of your team including information about the directors/shareholders/trustees, and staffing levels.</li> <li>• age and history of the organisation</li> <li>• organisation’s vision, mission and values</li> <li>• concise overview of your business idea</li> <li>• an outline of how your business is set up and why, what will it do, how will it operate, and the characteristics of your industry.</li> <li>• identification of risks and a management plan</li> <li>• marketing strategy and any research that you have done to evidence your ideas.</li> <li>• financial outlook (use budgets and forecasts to explain your assumptions and key points)</li> <li>• any other supporting background information about the project and the organisation.</li> </ul>
<b>Capability statement of the project</b>	<p>The capability statement includes the following information:</p> <ul style="list-style-type: none"> <li>• Curriculum Vitae (CVs) for key staff members, detailing skills and experience.</li> <li>• organisational structure.</li> <li>• any identified risks, and how they are being managed.</li> </ul>

## 8. Video application requirements (available to small grant applicants only)

Video applications are an additional and optional method to apply for small grants. The video application process is a two-step process consisting of a video and a short-written application form on Smartygrants. The video applications are only available to small grant applicants (requesting between \$1,000 to \$5,000).

The following provides important video application requirements:

You **MUST** provide all necessary information in the video as outlined below:

1. Upload your video to [YouTube](#) and provide us with the link to your video in the Smartygrants online application form.
2. Your video should be **4-6 minutes** long.
3. All questions required for the video portion of the application must be answered.

Tip: If an applicant wishes to keep their application private/confidential, this option is available in YouTube video settings. Videos set to private can only be viewed by those with the URL (website link).

### Video questions to include in the video.

Topic or Subject	Information to provide in your video response
<b>Video Intro</b>	<ul style="list-style-type: none"> <li>• Your full name.</li> <li>• The organisation's name.</li> <li>• Your role in the organization.</li> <li>• Your role in the project.</li> <li>• Brief description of the organization, including its main purpose or activity.</li> </ul>
<b>Project details</b>	<ol style="list-style-type: none"> <li>1. Project Title:</li> <li>2. Brief Summary of the project</li> <li>3. How will the project reduce waste to landfill or meet the objectives of the <a href="#">WMMP</a>?</li> <li>4. How does the project align with the <a href="#">WMMP</a>?</li> </ol>
<b>Māori Outcomes</b>	<ol style="list-style-type: none"> <li>5. Will your project/activity target Māori or Māori outcomes? If yes, from the following options describe how your project addresses the chosen option/s. <ul style="list-style-type: none"> <li>• Māori led- either a Māori organisation that is applying or māori directed (came about as a request from māori)</li> <li>• Māori involvement in the design/ idea.</li> <li>• Māori focus – tikanga (practises), mātauranga (knowledge), reo (language)</li> <li>• Māori participation – Māori priority group, target group, high representation or Māori staff delivering.</li> </ul> </li> </ol>

<b>Community Benefits</b>	6. How will the project encourage the community to reduce waste? 7. What are the benefits of this project to the community? 8. What actions have you taken for your project and have you consulted with others? 9. What are the objectives of the project? 10. How will these objectives be measured? 11. What evidence can you provide that you can achieve the objectives? 12. What are the risks of this project? How will these risks be managed?
<b>Outcome Areas</b>	13. Identify which of the four funding outcome areas your project will address and describe how. (Outcome areas are found <a href="#">here</a> on page 5) <ul style="list-style-type: none"> <li>• resource recovery initiatives and facilities</li> <li>• commercial waste</li> <li>• organic waste</li> <li>• community action and behaviour change.</li> </ul> 14. What parts of the waste stream does your project intend to address? * (Address all the following that apply to your project): <b>Household:</b> <ul style="list-style-type: none"> <li>• Recyclable items/materials</li> <li>• Hazardous Waste</li> <li>• Reusable items/materials</li> <li>• Construction and Demolition Waste</li> <li>• Organic Waste</li> <li>• No specific material targeted.</li> <li>• E-Waste</li> <li>• Other</li> </ul> <b>Commercial:</b> <ul style="list-style-type: none"> <li>• Recyclable items/materials</li> <li>• Hazardous Waste</li> <li>• Reusable items/materials</li> <li>• Construction and Demolition Waste</li> <li>• Organic Waste</li> <li>• Tyres</li> <li>• E-Waste</li> <li>• Other</li> </ul>
<b>Project Success</b>	15. What will the money be used for? 16. How will you report the success of the project? 17. How will your solution continue to exist after the WMIF funding has ended?

## 9. Grant uplifting and reporting requirements

- Funding must be uplifted within 12 months of approval. Any funds not uplifted within this time will be returned to the funding pool and reallocated.

- Successful applicants will be required to submit a final report on completion of the project or 12 months after the grant has been approved, whichever comes first.
- Final reporting can be submitted using a video, uploading it to YouTube and providing the URL link for our team to access. This information will need to be provided in the completion report form on Smartygrants. This is optional to all successful applicants.
- When submitting a video for reporting applicants MUST answer all questions of the completion report.
- Depending on the project, the council may withhold funds (or a percentage of these) until the project report and proof of receipts have been received.
- Medium and large grants may be required to report on key milestones as part of their contract agreement.
- Greenhouse gas emission reporting standards must be reported in the accountability report on completion of the project. This is applicable only to projects that will have quantifiable waste diversion from landfill.
- Auckland Council has a policy of routinely auditing successful recipients of funding. This may include a visit from council staff during, or on completion of, the project.

## 10. Submitting your application

A link to the funding website Smartygrants can be found on the Auckland Council Waste Minimisation and Innovation Fund webpage during funding application period in August.

Please make sure you answer all questions within the application as failure to provide all the necessary information may result in funding not being allocated to you.

Written quotes – you are required to supply evidence of the costs you are applying for. This could include a quotation from a vendor detailing the goods and services required, or a copy of an advertisement featuring the price of the product you are requesting funding for. Verbal quotes are not accepted.

Make sure you include all requested attachments (quotes, supporting information etc). You can scan these and upload them with your application. Clearly identify all additional material.

If you need any assistance, please contact the Waste Planning Advisor (Initiatives) on 09 301 0101 or email [aucklandwastefund@aucklandcouncil.govt.nz](mailto:aucklandwastefund@aucklandcouncil.govt.nz)

All funding correspondence is Private and Confidential.

Once you have submitted your application you will receive an acknowledgement email.

Your application will be assessed, and you will be advised in writing of the result after the decision is approved by the Governing Body.

### Application dates

The fund for small, medium and large grants opens at midnight the morning of 1 August and closes at midnight the night of 31 August.

## 11. What happens once you have submitted your application form?

- Auckland Council will acknowledge receipt of all applications.
- The application will be assessed and scored against the 'application assessment criteria' detailed below.

- The council will allocate the funding to successful applicants.
- You will be advised in writing of the result. We aim to do this in early December.
- If you are successful, you will need to accept a contract outlining terms and conditions before any funding is released. Your application form will form part of the contract.
- Grants are made as a reimbursement once you have paid for the goods and services and you have sent in copies of the full receipts (unless prior arrangements have been made with the council).
- Once you have completed your project you will need to send in a brief report on a form that will be attached to your online application on Smartygrants. If you have applied for a medium or large grant funding, you may need to provide more than one report to the council.

## 12. Application assessment criteria

The criteria for the fund will be focused on the seeding of new initiatives including developing business and community-based resource recovery centres and programmes.

The following criteria will be used to assess applications:

### 1. Strategic alignment

- Proposals must align with the strategic objectives and guiding principles of the WMMP 2018 (refer to page 26 and 50).
- Proposals must align with Te Tāruke-ā-Tāwhiri: Auckland's Climate Plan.

### 2. Māori Outcomes

- Proposals should support Mana Whenua to play an active part in the management of Auckland's natural environment by minimising waste, providing for the practical expression of kaitiakitanga.
- Proposals should show understanding and embedding of Māori knowledge, beliefs, culture and practices into thinking, project design and delivery.
- Proposals should explore partnership with Mana Whenua. (If you would like a list of mana whenua in your area to collaborate with [click here.](#))

### 3. Waste minimisation

- Proposals must reduce waste to landfill and/or target priority waste streams.

### 4. Community participation and / or community benefit

- Proposals should encourage community participation (number and depth of engagement).
- Proposals should result in tangible community benefit (in some cases this may include private sector benefit).

### 5. Value for investment

- Proposals building on existing initiatives should add value and bring a fresh approach.
- Where possible proposals should address gaps in Auckland Council waste services and create new opportunities that would not otherwise emerge.
- Where possible proposals should be developed in consultation with other parties carrying out waste-related activities.
- Proposals should represent a good return on investment.
- The degree of funding for any proposal will take into account the level of risk.
- The proposal should not undermine existing initiatives or other funded proposals.

### 6. Quality of proposal

- The proposal has clear objectives.
- The organisation making the proposal can demonstrate capacity to deliver, ideally evidenced by experience in projects of a similar nature.
- The objectives of the proposal are measurable.
- The proposal will be technically and financially feasible and does not represent an unacceptable level of risk to the council.

## **More information**

More information can be found on the Auckland Council website, or by contacting the Waste Planning Advisor (Initiatives) at [aucklandwastefund@aucklandcouncil.govt.nz](mailto:aucklandwastefund@aucklandcouncil.govt.nz) or 09 301 0101.