

# Community Grants Policy

December 2014



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*Details of the Local Grants Programmes adopted by Auckland's 21 local boards are available from Auckland Council's Community grants and support webpage.*

## Introduction

People are at the heart of the Auckland Plan – connected, resilient and inclusive communities underpin Auckland’s vision of becoming the world’s most liveable city. With people at the heart of the Auckland Plan, community development must be at the heart of Auckland Council. Council is just one contributor in the shared endeavour of building thriving communities, but it has an important part to play.

*Deputy Mayor Penny Hulse and Mayor Len Brown  
Foreword to Thriving Communities: Community and Social Development Action Plan, April 2014*

1. The Community Grants Policy guides the allocation of local and regional grants to groups and organisations delivering projects, activities and services that benefit Aucklanders and contribute to the vision of becoming the world’s most liveable city. The word ‘community’ is used here in its broadest sense: it signals that our grants programme will support the social, cultural and environmental wellbeing of our people and places.
2. Having a community grants programme is an explicit acknowledgement that the world’s most liveable city cannot be created by Auckland Council acting alone. There are many independent groups and organisations that share our objectives, and in many cases are better placed to deliver on them. These community-led organisations are experts in their respective fields, and able to mobilise a range of relationships and resources to achieve their goals.
3. ‘Thriving Communities: Social and Community Development Action Plan states that “[Auckland Council’s] role is to enable, facilitate, and provide every opportunity for communities to drive and own their own development”. By providing community groups and organisations with direct financial assistance, Council can support those objectives we share, be a catalyst for positive change, deliver value for money to ratepayers, and help to sustain a thriving and independent community sector.
4. The Community Grants Policy provides a framework for a new community grants programme, which has two main components:
  - A local grants programme (incorporating multi-board grants)
  - A regional grants programme

### Local grants programme

5. Auckland Council’s 21 local boards will each operate their own local grants programme under the broader umbrella of the Auckland Council Community Grants Policy. Local boards will award grants to local groups and organisations, services, events and activities that benefit residents in their local board area.

6. Local boards may also collaborate to award grants to support groups and organisations, services, events and activities that benefit multiple local board areas, but do not qualify for regional funding.

### **Regional grants programme**

7. The governing body of Auckland Council will award grants to regionally significant organisations, services, events and activities that benefit residents across Auckland. Auckland Council will operate grants programmes targeting six key activity areas at the regional level, aligned to strategic directions outlined in the Auckland Plan.
8. The regional grants programmes are:
  - Regional Arts and Culture Grants Programme
  - Regional Community Development Grants Programme
  - Regional Environment and Natural Heritage Grants Programme
  - Regional Events Grants Programme
  - Regional Historic Heritage Grants Programme
  - Regional Sport and Recreation Grants Programme.

## Purpose and objectives

9. The purpose of the Community Grants Policy is to guide the allocation and management of contestable and discretionary community grants awarded at the local or regional level. These grants support the delivery of a wide range of outcomes identified in the Auckland Plan, Local Board Plans and other key strategic documents.
10. The overall objective of the Community Grants Policy is to frame delivery of a grants programme that meets the needs of four main groups of stakeholders, as outlined below:
  - **Groups and organisations seeking grant funding**, who require clear guidance about Council’s intentions and priorities for funding, fair and proportionate grants processes, and upfront information about their obligations if they receive a grant
  - **Elected members**, who are responsible for allocating grants in a way that best meets the needs of their communities, addresses the priorities they have set through Council strategies and plans, and delivers good value for money for ratepayers
  - **Council staff**, who need a clear framework within which to work to provide high quality service and advice, support good stewardship of grant funds, effectively integrate the grants programme with Council’s other community programmes, and evaluate its benefits
  - **Auckland residents**, whose rates pay for the grants the council provides, and who receive the benefit of the activities we fund on their behalf.
11. The Community Grants Policy has the following specific objectives:
  1. Supports a wide range of organisations, projects, programmes, activities and events that reflect our diverse communities and help to improve their quality of life.
  2. Provides a means for decision-makers (local boards and governing body committees) to regularly consider and prioritise all possible recipients of grant assistance. This will include not only established organisations, who may receive support on an ongoing basis, but also new groups and initiatives that arise to address Auckland’s growth and our communities’ changing needs and circumstances.
  3. Aligns the provision of grants to the published priorities of Auckland Council, as identified in the Auckland Plan, local board plans and strategic plans at the regional level.
  4. Supports the delivery of Māori outcomes, contributing to increased social and economic wellbeing for Māori.
  5. The grants programme is ‘fit-for-purpose’ – by which we mean:
    - a. it is customised to Auckland Council’s shared governance model, enabling our decision-makers to be responsive to the needs of the communities to whom they are accountable
    - b. grants are equally accessible to all groups and organisations in Auckland

- c. our supporting processes, systems and materials are community-centric – meaning they take account of the needs of our ‘customers’, are user-friendly and easy to understand
  - d. the overall programme is feasible to deliver to a high standard, for a reasonable cost
  - e. funding decisions are merit-based and evidence-based – producing clear community benefits in return for ratepayers’ investment.
- 6. Auckland Council upholds its statutory responsibility to ensure the lawful, transparent and prudent expenditure of public funds.

## Legislative context and strategic alignment

### Legislative context

#### Local Government Act

12. In December 2012, central government amended the purpose of local government in the Local Government Act 2002. The purpose of local government is now to:

*‘Enable democratic local decision-making and action by, and on behalf of, communities to meet the current and future needs of communities for good-quality local infrastructure, local public services and performance of regulatory functions in a way that is most cost-effective for households and businesses.’*

13. The Act also requires local government to, ‘take into account the social, economic, and cultural interests of people and communities and quality of the environment, including for future generations, as part of a sustainable development approach’ and references Council’s role in developing social policy to support these objectives.

14. The Community Grants Policy responds to this directive in four ways:

- Grants are an important mechanism for enabling local decision-making and action, empowering communities to work alongside Council to meet their current and future needs.
- Grants will be provided primarily for ‘local community infrastructure’ and ‘local public services’, as these are interpreted in the Auckland Council context, and can be put towards social, cultural and environmental activities.
- The design of the grants programme recognises the fundamental independence and capability of our communities, community organisations and the wider non-government sector, and their complementary role to that of local government.
- Design and implementation of each stage of the programme will support a clear focus on applying scarce resources cost-effectively.

#### Local Government Act (Auckland Council) 2010

15. The Auckland Council was established under the Local Government Act (Auckland Council) 2010. The Act created two complementary and non-hierarchical decision-making parts – the governing body and 21 local boards – providing political governance at the regional and local levels.

16. The Community Grants Policy is a regional policy adopted by the governing body, which covers both the regional and local levels of the grants programme. In accordance with the Act, it is not intended to be prescriptive or unduly restrict the decision-making role of local boards. It provides regional parameters within which local boards then make decisions on local activities.

17. The following table shows the Auckland Council decision-making roles and responsibilities in relation to the grants programme.

Local governance	Regional governance
21 elected local boards, made up of 149 local board members	One elected governing body, made up of the Mayor and 20 ward councillors
<p><i>Local board grants</i></p> <p>Local boards will award grants to local groups and organisations, services, events and activities that benefit residents in their local board area.</p> <p><i>Multi-board grants</i></p> <p>Local boards can collaborate to award grants to groups and organisations, services, events and activities that benefit multiple local board areas.</p>	<p><i>Regional grants</i></p> <p>Governing body committees will award grants to regionally significant organisations, services, events and activities that benefit residents across Auckland.</p>

### Government guidance for the operation of grants programmes

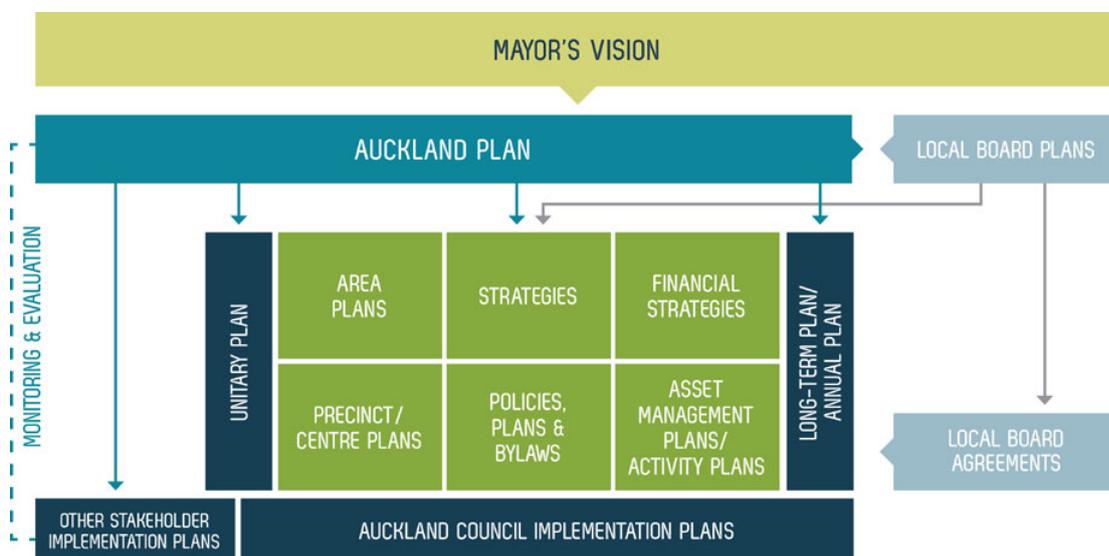
18. Several documents have been prepared by central government to provide guidance for public entities operating grants programmes that financially support third parties. These documents outline a range of expectations, mainly at the operational level, which will be incorporated in the design of the grants programme and supporting processes and materials.
19. Broadly, Council is expected to ensure:
- Grants are allocated lawfully, transparently and prudently, in keeping with Council’s responsibilities as a public entity dispensing public funds, and the legislated purpose of local government
  - Conflicts of interest are identified and appropriately managed
  - Grant applicants and recipients are treated fairly and with respect
  - Processes and materials are fit for purpose and accessible to all
  - Expectations of grant recipients are clearly communicated, reasonable, and proportionate to the funding they receive
  - Adequate records are kept at each stage of the funding ‘lifecycle’ to support internal and external audit requirements and evaluate the impact of the grants programme.

### Auckland Council’s strategic framework

20. Auckland Council operates a grants programme to help us achieve a wide range of outcomes. These outcomes are determined locally, through local board plans, and regionally, through the Auckland Plan and regional activity / sector-specific strategies, policies and plans. The Community Grants

Policy is a tool for delivering these outcomes, which have been agreed in consultation with our communities.

21. The following diagram shows the strategic framework for Auckland Council.



### Auckland Plan

22. The Auckland Plan sets out a single vision to make Auckland the world’s most liveable city over the next 30 years, to 2040. The Community Grants Policy provides a framework for responding to a number of strategic directions and priorities outlined in the Auckland Plan through grant funding.
23. Although not an exhaustive list, the strategic directions and priorities set out in the following table are particularly relevant for the Community Grants Policy.

Auckland Plan Strategic Directions	Auckland Plan Priority Areas
Create a strong, inclusive and equitable society that ensures opportunity for all Aucklanders	Put children and young people first Improve the education, health and safety of Aucklanders, with a focus on those most in need Strengthen communities
Enable Māori aspirations through recognition of the Treaty of Waitangi and Customary Rights	Enable Māori aspirations for thriving and self-sustaining Marae Support sustainable development of Māori outcomes, leadership, community and partnerships
Integrate arts and culture into our everyday lives	Value and foster Auckland's cultural diversity Valuing our artists, creative sector and our cultural institutions

Protect and conserve Auckland’s historic heritage for the benefit and enjoyment of present and future generations	Understand, value and share our heritage Invest in our heritage Empower collective stewardship of our heritage
Promote individual and community wellbeing through participation and excellence in recreation and sport	Provide quality opportunity for all Aucklanders to participate in recreation and sport Prioritise and optimise our recreation and sport facilities and public open space use and the capabilities of recreation and sport organisations
Develop an economy that delivers opportunity and prosperity for all Aucklanders and New Zealand	Enhance investment in people to grow skills and local workforce Develop a creative, vibrant world city
Acknowledge that nature and people are inseparable	Value our natural heritage Sustainably manage our natural resources Treasure our coastline, harbours, islands and marine areas
Contribute to tackling climate change and increasing energy resilience	Mitigate Climate Change Improve energy efficiency, security and resilience Adapt to a changing climate

24. The Community Grants Policy also takes account of two particular directives in the Auckland Plan concerning ‘ways of working’:

- Directive 1.10: Support community-led development and work with communities to develop leadership, skills and capacity
- Directive 1.11: Promote inclusion, reduce discrimination and remove barriers to opportunity and participation, particularly for disadvantaged groups.

### Local Board Plans

25. Auckland’s 21 local boards develop a local board plan at the beginning of their three-year term, in consultation with local communities, which sets out the aspirations and priorities for their local community and guides their decision-making. Reflecting their local focus, local board plans tend to have a strong focus on community well-being and ‘liveability’ at the local level.

26. Key themes highlighted in local board plans include:

- Supporting local community identity through arts, culture and youth programmes and local events

- Creating vibrant and economically strong town centres that reflect local character and stimulate community activity and involvement
- Enhancing and protecting the natural environment
- Building on community and volunteer networks
- Enhancing quality of life through providing high quality community facilities and events
- Improving sports fields and ensuring high quality, well-connected open spaces
- Protecting and valuing built and cultural heritage
- Preserving the natural character of rural areas.

### **Auckland Council's responsibilities under Te Tiriti o Waitangi and the Local Government Act**

27. Auckland Council, which includes both local boards and the governing body, has committed to meeting its responsibilities under Te Tiriti o Waitangi/the Treaty of Waitangi, and its broader statutory obligations to Māori.
28. The Local Government Act 2002 requires Auckland Council to recognise and respect the Crown's responsibility to take appropriate account of Te Tiriti o Waitangi / the Treaty of Waitangi's principles. It places an obligation on the council to establish and maintain appropriate processes for Māori to contribute to local government decision-making, and to consider ways to foster the development of Māori capacity to contribute to decision-making.
29. The 2010 Local Government Act established the Independent Māori Statutory Board (IMSB) which plays an important role in advocating for issues of significance for Māori and ensuring council fulfils its statutory obligations to Māori. Auckland Council is committed to working with the IMSB to achieve its purpose.
30. The following diagram outlines Auckland Council's commitment to Māori via the Māori Responsiveness Framework:



The grants programme seeks to recognise Māori rights and interests within Tāmaki Makaurau, and to contribute to addressing the needs and aspirations of Māori. This includes the Māori outcome, ‘Te Hou o Te Whenua, Te Hau o Te Tangata – Auckland’s Māori identity is its special point of difference as a global city providing opportunities for all’, and the priority outcome areas identified in the Auckland Plan and the Long-term Plan.

### Other key strategies, policies and plans

31. The priorities set out in the Auckland Plan are further elaborated in a range of other Auckland Council strategic documents and in the Māori Plan for Tāmaki Makaurau, prepared by the Independent Māori Statutory Board.
32. Key Auckland Council strategies, policies and plans include:
  - Arts and Culture Strategic Action Plan
  - Thriving Communities: Community and Social Development Action Plan
  - I am Auckland: an Auckland-Wide Strategic Action Plan for Children and Young People
  - Environmental Strategic Action Plan
  - Indigenous Biodiversity Strategy
  - Historic Heritage Strategy
  - Auckland Sport and Recreation Strategic Action Plan
  - Public Art Policy
  - Events Policy

- Heritage Incentives Policy
  - Community Facilities Network Plan
  - Low Carbon Action Plan
  - Waste Minimisation and Management Plan
33. At the regional level, these activity- or sector-specific strategies and policies drive the outcomes and funding priorities set for each regional grants programme (refer to the individual regional grants programme schedules for more information).

### Thriving Communities

34. In 2014, Auckland Council released Thriving Communities: Community and Social Development Action Plan that forms part of our outcomes framework at the regional level. Thriving Communities is specifically concerned with the council's role in empowering Auckland's communities and the community sector, and as such its recommendations have special significance for our grants programme. Thriving Communities established six priority areas for the council to focus on:
- Facilitate grassroots action
  - Strengthen support to the voluntary and community sector
  - Enable social innovation and social enterprise
  - Maximise positive socio-economic impacts
  - Work in a holistic and integrated way
  - Support staff to be community centric.
35. All six focus areas inform the delivery of the grants programme in some way. For instance, enabling match funding was recommended under the first action, and improving funding processes was identified under the second action, with a key focus on achieving 'proportionality'. These actions are acknowledged in our 'Policy principles' and in the overall design of the grants programme.

## Policy principles

36. The following policy principles will guide our behaviour and decision-making, and inform the design and implementation of the Auckland Council community grants programme:
- A focus on outcomes
  - Working together: mutual respect and shared responsibility
  - Fairness and equity of opportunity
  - Valuing Te Ao Māori
  - Transparency and clarity
  - Recognising innovation and collaboration
  - Quality, effectiveness and value
  - Proportionality.

### A focus on outcomes

37. The focus of the Community Grants Policy is the positive outcomes we are seeking to achieve for our communities. The grants programme is a means to serve this end, not an end in itself. The processes we develop and the decisions we make will serve and support good community outcomes over all other considerations.
38. We will evaluate the success of the grants we make based on the outcomes that are achieved. We acknowledge that some community outcomes are complex and/or will take longer to be achieved, and this may require a combination of qualitative and quantitative measurement over time.

### Working together: mutual respect and shared responsibility

39. Auckland Council recognises the critical contribution that the community and not-for-profit sector makes to building a more liveable city. We share many interests, values and goals with the sector, but we recognise that it is made up of self-determining and independent organisations. Like the council, each has its own mission, and is accountable to its own communities. Our grant relationships with these organisations will be characterised by mutual respect and an acknowledgement that delivering positive outcomes is a shared responsibility, in which central government, local government, the community and not-for-profit sector all have a role to play.
40. Grants are a means of financially supporting community-led initiatives, and in this respect they are fundamentally different from procurement arrangements. When the council procures from a third party, it is purchasing a service to meet a specific need or requirement, and that service is delivered to the council's specifications. In contrast, the initiatives we support through grants are conceived and delivered by the community, for the community. This distinction will be reflected in the grants programme – in the language that we use, the processes we design, and the relationships we enter into with grant recipients.

41. Grants will be allocated and managed in accordance with Auckland's unique shared governance model. Our local and regional elected members have been tasked with representing their communities and responding to their needs, and the grants programme will be sufficiently flexible to give effect to that responsibility.
42. Our staff will work collaboratively across the council's divisions, departments and business units to provide a high quality, 'seamless' service to decision-makers, grant applicants and grant recipients.

### **Fairness and equity of opportunity**

43. We value all of Auckland's diverse communities, and welcome grant applications from people of all ages, identities, abilities, cultures and ethnicities, wherever in the region they live.
44. All our communities will have an equal opportunity to be considered for grants, and the design and management of the programme will take account of their differing needs and interests. We will ensure applicants are treated fairly regardless of their size, location or circumstances, and provide any support they may reasonably require. This includes making appropriate provision for the special access needs of applicants with a disability.
45. Auckland Council allocates grants from a limited pool. Our grants will be targeted to the achievement of particular outcomes and priorities that have been published in advance. These will align with our strategic priorities, and be appropriate to our purpose and role as a local authority.

### **Valuing Te Ao Māori and enabling Māori outcomes**

46. The grants programme will support Auckland Council's commitment to Māori, as described in paragraphs 27-30.

In the context of this policy, this commitment means that:

- We acknowledge the special role and significance of Māori as tangata whenua.
- Auckland Council's commitment to deliver positive Māori outcomes should be appropriately recognised in the outcomes and funding priorities established at the local and regional level.
- Grants to eligible organisations addressing these priorities are an important way to realise Māori aspirations through rangitiratanga (self-determination).
- Mātauranga Māori / Māori knowledge and world views will be respected, and their validity and value reflected in the intent, design and operation of Auckland Council's grants programme. In particular, we will ensure that we:
  - engage effectively with Māori to promote the funding opportunities available through the grants programme,
  - provide appropriate capacity building support to potential applicants to improve Māori access to funding opportunities,
  - have (or co-opt) appropriate expertise to assess applications which seek to deliver Māori outcomes.

### Transparency and clarity

47. The grants programme will operate transparently in all respects and at all stages of the process, while protecting confidentiality. We will provide clear information in a timely way about the opportunities to apply for funding, and our expectations of applicants and recipients.
48. We will publish information about all of the grants we provide – who has received them, and for what purpose. We will also provide feedback to unsuccessful grant applicants about why they have been declined, so they will know what they can do to increase their chances of success next time.
49. We seek to enable sustainable organisations and initiatives, while avoiding organisations becoming financially dependent on Auckland Council. The majority of our grants will be to deliver one-off projects, or be provided as ‘seed funding’ to test new ideas and approaches, help with start-up or expansion costs, or enable recipients to leverage more sustainable sources of financial support.
50. Where the intention is to provide support on an ongoing basis, especially at the regional level, decision-makers will give due consideration to providing longer term (multi-year) grant funding. However past funding doesn’t represent a commitment to future funding (i.e. beyond the term of the initial agreement).

### Recognising innovation and collaboration

51. We recognise that communities face increasingly complex challenges and that creativity, innovation and collaboration can be critical to the development of solutions. We welcome proposals seeking to respond to issues and opportunities in innovative ways, including through collaborative partnerships.
52. We recognise that innovation and collaboration can also bring risk. In these cases we consider that failure to achieve the anticipated outcomes is not necessarily a failure to deliver value. Outcomes can include opportunities to build community capacity, learn from experience and adapt to changing circumstances. We recognise these as valuable practices that contribute to community resilience and wellbeing.

### Quality, effectiveness and value

53. Staff and decision-makers will work together to deliver good value for ratepayers’ investment, by supporting high quality initiatives that are effective, and which can produce clear benefits for our communities.
54. Consistent processes will be applied to assessing grant applications at each level. Assessment will be based on proposals’ individual merits and how well they align with our funding priorities. We may take into account an applicant organisation’s previous track record, their current capability and their future potential when awarding grants.
55. In some cases, the outcomes we are targeting are most likely to be delivered by small groups that emerge organically within their communities. Such groups may lack the resources of larger, more established organisations with permanent employees. Where the capacity of these applicants is a

barrier, our staff will provide support to ensure an appropriate quality of application can be submitted (usual decision making criteria and processes still apply).

56. We expect all grant applicants to give advance thought to how they will know if their project has been a success. For larger grants, applicants will be asked to propose appropriate outcome measures, and a plan for how these will be monitored and reported back. All grant recipients will be required to account for how they have spent the funds and share what they have achieved and/or learned.

### **Proportionality**

57. We will strive to balance Auckland Council's statutory responsibility to ensure the lawful and prudent expenditure of public funds, with a commitment to work in a way that acknowledges the integrity of community organisations, and recognises the impact of our requirements on their limited time and resources.
58. The information we collect and our expectations of grant applicants / recipients should always be proportionate to the scale of what is being proposed or funded. The processes and documentation that organisations are asked to complete should be appropriate to the size of the grant, the situation of the applicant and the level of risk presented to the council.

## Scope and eligibility

59. This section outlines the scope of the Community Grants Policy, provides definitions of key terms, discusses eligibility considerations and highlights the key factors we will take into account when assessing grant applications.

### Contestable and discretionary grants

#### Contestable grants

60. The majority of Auckland Council grants will be awarded through a contestable process. This is the best way to enable decision-makers (i.e. governing body committees and local boards) to compare the relative merits of the funding proposals they receive, and to allocate grants from limited funding pools as fairly as possible.
61. In this context **contestable** means that:
- applications are invited during scheduled funding rounds, with publicly advertised opening and closing dates,
  - any eligible organisation has an equal opportunity to be considered for a grant,
  - clearly defined processes will be applied to all applications, and
  - final allocation decisions are made in a public forum.

#### Discretionary grants

62. From time to time, Auckland Council may receive funding requests from organisations seeking a grant outside of the normal contestable process. Although not obliged to do so, the governing body or local boards may choose to make a **discretionary** grant in some cases. To be considered for a discretionary grant, the organisation would need to make a compelling case for an urgent decision – in other words, demonstrate that:
- their need (or opportunity) is immediate, and has arisen since the last scheduled funding round closed,
  - consideration cannot wait until the next scheduled funding round, and
  - the circumstances could not reasonably have been foreseen.
63. If satisfied of the applicants' exceptional circumstances and the merit of the proposal, the relevant decision-makers may award a discretionary grant outside of the normal contestable process.
64. Discretionary grants will:
- usually be for small amounts,
  - be awarded via formal resolution in a public forum,

- be recorded using standard grant documentation (e.g. application forms) even if these are completed after the grant has been approved, and
- still need to comply with the standard Auckland Council grant requirements.

## Who can apply for grants?

### Community organisations

65. The primary beneficiaries of community grants will be **not-for-profit, charitable and voluntary** organisations. These groups are often referred to collectively as ‘community organisations’ because they are established with the primary purpose of providing a benefit to the wider community.
66. Community organisations generally display the following characteristics:
  - A not-for-profit organisation, or an association of individuals whose primary aim is providing services and benefits to the community at large
  - Membership or participation is available to anyone who wishes to join
  - May be a special interest or advocacy group for a particular section of the community, but the group or organisation should not impose restrictions upon membership (such as setting fees at a level that exclude most people who might want to participate).
67. Most community organisations have a formal legal structure and founding documents (e.g. a constitution) which set out governance and management arrangements consistent with their charitable mission. Having a recognised structure enables Auckland Council to enter into a formal legal agreement with the organisation, and ensures appropriate accountability for how grant funds will be managed.
68. Auckland Council will prioritise grant funding for community organisations as we recognise that their primary purpose is to provide community benefits and they may have limited revenue streams and/or opportunities to raise funds to pay for the valuable work they do.

### Individuals and groups with no formal legal structure

69. Individuals and groups with no formal legal structure may apply for grants of up to \$1,000 through the local grants programmes, except where individual local boards have specifically stated otherwise.
70. Applicants in this category seeking grants over \$1,000 would need to either:
  - Nominate an **‘umbrella’ organisation** which has agreed to receive and administer the grant on their behalf – the umbrella organisation would be legally accountable to Auckland Council for the expenditure of the grant; OR
  - Apply to have the **funding released retrospectively**, i.e. as reimbursement for pre-approved expenses after the project or activity has been satisfactorily completed.

## Commercial entities

71. Commercial entities – e.g. Limited Liability Companies – may apply for grants in certain circumstances, except where individual local boards or governing body committees have specifically stated they will not consider applications from such entities.
72. Projects, events or initiatives proposed by commercial entities would need to clearly and directly benefit the wider community. Examples of instances where we may fund a commercial entity are:
  - to cover the costs of delivering a free community event or activity
  - to subsidise the costs of a charged-for event or activity (i.e. reducing fees to a level that enables community access)
  - to enable a charged-for event or activity to be delivered that would otherwise not be commercially viable, where that event or activity will help achieve our stated priorities and outcomes, and charges are not set at a level that would prevent broad participation.
73. Profit generated by a grant-funded project, event or activity may only be retained by the grant recipient if it is to be reinvested in a social, environmental or cultural mission, or kept as working capital with a commitment to operate the activity in future (i.e. reducing reliance on grant funding in subsequent years).

## Social innovation and social enterprise

74. Auckland Council welcomes grant applications from social enterprises delivering outcomes for our communities. Social enterprises are hybrid organisations that trade goods and services in order to achieve their social, environmental, economic or cultural goals. There are a variety of legal structures which social enterprises can adopt, including but not limited to:
  - Charitable Trusts
  - Limited Liability Companies
  - Incorporated Societies
  - Cooperatives or Unions
75. The council is committed to growing our support for social innovation and social enterprise as we believe they have considerable potential in addressing some of Auckland's key challenges. Thriving Communities identifies a need for strategic investment into the social enterprise sector and community grants can support this commitment, particularly by providing funding for capability-building and access to seed capital for social enterprises looking to start or grow their businesses.

## Conflicts of interest

76. Organisations affiliated in some way to elected members or employees of Auckland Council can still be considered for grant funding. However organisations in this category should note any possible conflict of interest (or perception of a conflict of interest) in their application, to ensure any necessary steps can be taken to mitigate this.

77. Impacted elected members or council employees are also required to note any possible conflict of interest (or perception of a conflict of interest), and will not be involved in any assessment or decision-making related to these applications.

### Ineligible applicants

78. Community grants as covered by this policy are **not available** to:

- Political parties
- Internal applicants (i.e. to fund projects, programmes or facilities run by Auckland Council or its employees)
- Auckland Council CCOs (council-controlled organisations), including facilities owned and operated by Regional Facilities Auckland (RFA)
- Organisations receiving statutory funding from council via compulsory annual levies, under the Auckland Regional Amenities Funding Act (ARAFA) or comparable legislation
- Other local authorities, government agencies or public sector entities.

### What we will fund

79. Auckland Council provides grants to support organisations, projects, activities and events working across a wide range of activity areas.

80. To illustrate the diversity of things we fund, a list of possible grant recipients and grant-funded activities is provided in the table below. **Note this list is not exhaustive** – types of organisations and activities that are not specifically mentioned here can still apply for grants, unless they are ruled ineligible elsewhere in this policy.

Activity area	Examples of possible grant recipients and grant-funded activities
Arts, culture and events	<ul style="list-style-type: none"> <li>• Arts and cultural groups</li> <li>• Umbrella groups representing different art-forms / sector development organisations</li> <li>• Non-council-owned arts and cultural facilities</li> <li>• Community arts education and activities</li> <li>• Public art</li> <li>• Professional performing arts groups / companies</li> <li>• Professional event organisers delivering community events</li> <li>• Community-led events and festivals</li> </ul>
Community development	<ul style="list-style-type: none"> <li>• Community support groups</li> <li>• Neighbourhood and resident groups</li> <li>• Representative and advocacy bodies serving ethnic, cultural and special interest communities</li> <li>• Sector development organisations</li> </ul>

Activity area	Examples of possible grant recipients and grant-funded activities
	<ul style="list-style-type: none"> <li>• Local public services (as distinct from those provided by central government)</li> <li>• Community programmes and activities</li> <li>• Community safety organisations (e.g. Wardens)</li> <li>• Health and wellbeing initiatives (e.g. family violence or suicide prevention)</li> </ul>
Environment and natural heritage	<ul style="list-style-type: none"> <li>• Auckland-based advocacy and sector development organisations</li> <li>• Environmental groups and projects</li> <li>• Environmental education, including schools-based programmes</li> <li>• Biodiversity protection / ecological restoration work by individuals, groups and businesses on public or private land</li> <li>• Identification and stewardship/kaitiakitanga of our natural heritage places by mana whenua and iwi groups</li> <li>• Sustainable living initiatives and resources</li> <li>• Facilities (e.g. Environment centres, tree nurseries)</li> </ul>
Historic heritage	<ul style="list-style-type: none"> <li>• Conservation of significant built heritage by individuals, groups and businesses</li> <li>• Identification and stewardship/kaitiakitanga of historic sites, structures, places, areas and archaeological sites of cultural and spiritual significance to mana whenua and iwi groups</li> <li>• Enabling community access to privately owned heritage sites</li> <li>• Heritage education and interpretation</li> <li>• Conservation and practice of cultural heritage</li> </ul>
Sport and recreation	<ul style="list-style-type: none"> <li>• Advocacy organisations promoting active lifestyles</li> <li>• Sport and active recreation programmes and events</li> <li>• Sport and active recreation providers</li> <li>• Sports code governing bodies / umbrella organisations</li> <li>• Improving use of / access to recreational and open spaces</li> </ul>

### What our grants can be spent on

81. Auckland Council provides grant funding to achieve outcomes, and applicants will be asked to provide an overall budget for the project, activity or service that will deliver those outcomes. In most cases Auckland Council will be one of several sources of funding for the project, activity or service rather than the sole funder, and we would expect to see this reflected in the budget.
82. The budget for the project, activity or service is likely to include a range of costs. Examples are:
  - Salaries, wages, professional fees (e.g. artists' fees) and volunteer expenses
  - Administration and office expenses
  - Accommodation expenses including rent, leases, maintenance, insurances and utilities
  - Costs integral to service delivery (e.g. vehicle expenses for a mobile social service)

- Marketing, advertising, website and printing costs
  - Programme expenses such as materials, equipment hire, venue hire and tutors' fees.
83. Applicants will need to indicate how, if successful, they plan to spend their council grant – i.e. to fund specific components of the budget, or to help offset the overall cost. Appropriate outcomes for the level of funding we provide will be negotiated with recipients, and any special conditions for how the grant can be spent will be reflected in the funding agreement.

### What we won't fund

84. The Community Grants Policy provides decision-makers with considerable flexibility to determine how best to support their communities to deliver positive outcomes, as outlined above. However, there are some purposes that will not be funded.
85. This list of funding exclusions draws on:
- The statutory purpose of local government, to 'meet the current and future needs of communities for good-quality local infrastructure [and] local public services'
  - Central government guidance (in particular the Office of the Auditor General and the New Zealand Treasury)
  - Internationally applied principles of 'best practice' grant-making.
86. The following activities will not be funded:
- Debt servicing or repayment
  - Legal expenses
  - Activities that promote religious ministry or political purposes
  - Medical expenses
  - Public services that are the responsibility of central government (e.g. core education, primary health care)
  - Physical works – e.g. improvements to community buildings – that require consents or permits, prior to the necessary consents or permits being obtained (grants may be awarded in principle, but funds will not be released until all conditions are satisfied)
  - Purchase of alcohol.
87. In a competitive funding environment, the following may be a **lower priority** for funding:
- Travel and accommodation outside Auckland, unless we are convinced there will be a tangible benefit for Auckland ratepayers
  - Retrospective costs (where the activity has already taken place), unless this is necessary as a condition of the grant, or we are satisfied there are other mitigating circumstances
  - Fundraising events or activities, especially where the beneficiary is a third party (e.g. charity events, sponsored walks), unless we determine the event has a wider community benefit beyond its primary purpose as a fundraiser.

88. Local boards and governing body committees may specify additional exclusions for funding to those set out above. Refer to the relevant grants programme schedule for more information about specific exclusions.

## Assessment and prioritisation

89. The previous section sets out who and what we will consider funding through the grants programme. This section explains the factors we will take into account when assessing proposals, to determine their relative merit, and assist decision-makers to prioritise between proposals of similar merit.
90. When assessing the strength of an individual proposal, and which proposals should be considered a priority for funding, our staff will consider whether the applicant has:
- Clearly defined the **purpose** of their project, activity or service – e.g. the need they are meeting – and outlined why this is important.
  - Made a compelling case for how their proposal **aligns to the funding priorities** established by the relevant local board(s) or the governing body committee, relative to other proposals.
  - Identified where their organisation, and/or their project, activity or service, **aligns with the following policy principles**:
    - Demonstrating innovation and/or collaboration where appropriate
    - Valuing Te Ao Māori and enabling Māori outcomes
    - Ensuring their project, activity or service is accessible to people with disabilities or those facing other barriers to participation.
  - Clearly described their project, activity or service – **what will be delivered and how** – and satisfied us that it is viable.
  - The **capability, capacity and experience to deliver** their project, activity or service to an appropriate standard, evidenced by a relevant **track record of successful delivery**.
  - Presented a realistic, evidence-based budget for their project, activity or service, and identified exactly **how our grant would be spent**.
  - Given thought to how they will show that the grant has benefited their community (or for larger grants, identifying how they will evaluate the success of their project, activity or service).
  - Understands **who** their project, activity or service is targeting and **where** in Auckland these people are likely to come from, and has the necessary experience, networks or profile to give them **credible access** to this target group.
  - Provided **evidence of community support** for, and/or involvement in the project, activity or service, and/or evidence of **support from their recognised regional or national body** (where relevant).
  - Shown that their project, activity or service will support **multiple outcomes** across activity areas – e.g. a project that supports both environmental and arts outcomes (this is not required, but may lend additional weight to the application).

91. We will apply the ‘proportionality principle’ in determining the above. Applicants seeking larger grants will be expected to answer in more detail and provide additional evidence compared with applicants seeking smaller grants.

### Financial considerations

92. Auckland Council grant programmes are consistently oversubscribed, and it is not possible for us to meet all requests for funding. Our overarching aim is to deliver the outcomes that are most significant to our communities, but in making decisions we will take applicants’ overall financial situation into consideration.
93. We will ask all grant applicants what they (or others) will be contributing to the cost of their proposed project, activity or service. An applicant’s own contribution may include volunteer labour, donated materials, donated professional services and/or their own cash reserves.
94. When assessing and prioritising applications, we may take into account any or all of the following:
- The applicant’s **overall financial position**, including their ability to support the project, activity or service from their own resources and/or to access grants from other sources
  - Whether the applicant has accessed, or made reasonable attempts to **access, other sources of financial support** for their project, activity or service, including grants from other funders, or fundraising within their community
  - Whether the applicant has received, or is receiving, any other grants, contracts, subsidised accommodation or other financial assistance from Auckland Council.

### Applying to more than one Auckland Council grants programme

95. Applicants can apply for grants from more than one council grants programme for different projects and activities. Applicants will need to identify any other council grants programmes they have applied to (or intend to apply to), and what they have applied for.
96. In the first instance, applicants should select the most appropriate grants programme for the scale of the outcomes they are delivering (i.e. local, multi-board or regional). Further guidance on selecting the most appropriate programme will be available to potential applicants.

### Out of scope

97. The Community Grants Policy replaces all of the grants policies and contestable and discretionary grants schemes that Auckland Council inherited from the former regional, city and district councils at amalgamation, and operated through the interim funding programme (November 2010 – June 2015).
98. This section outlines grants and other forms of community assistance that are administered or provided by Auckland Council, but which are **out of scope** for the Community Grants Policy.

### Other grants provided by Auckland Council

- Grants or fee rebate programmes operated by the substantive Council-Controlled Organisations (CCOs), including Auckland Tourism, Events and Economic Development (ATEED), Regional Facilities Auckland (RFA), Auckland Transport and Watercare.
- Rates incentive programmes which provide low interest assistance to homeowners to address home resource efficiency, to be repaid via rates (currently home insulation and clean heat retrofitting, through the 'Retrofit your Home' programme).
- The annual levy to the Auckland Regional Amenities Funding Board, which is a statutory requirement of Auckland Council under the Auckland Regional Amenities Funding Act (ARAFA). The Funding Board distributes this levy annually via significant grants to a group of key regional organisations (e.g. Watersafe Auckland, Auckland Philharmonia Orchestra).
- The annual levies to the Auckland War Memorial Museum under the Auckland War Memorial Museum Act (1996) and to the Museum of Transport and Technology (MOTAT) under the Museum of Transport and Technology Act (2000).
- Large, one-off grants towards the purchase, development or maintenance of key regional infrastructure (e.g. the Waterfront Theatre building, Holy Trinity Cathedral).
- Grants provided as part of a broader strategic relationship with key partner organisations operating regionally (e.g. Aktive (formerly Auckland Sport), Auckland Citizens Advice Bureaux), where the service, role or expertise provided by the funded partner is key to the council delivering its own objectives and long term outcomes for that activity or sector.
- Recurring grants to third parties to deliver asset-based or core services (i.e. services that the council delivers in-house elsewhere) via 'outsourced' or partnership delivery models.

### Third-party funding programmes

- The Creative Communities grants scheme, funded by Creative New Zealand and operated by territorial authorities (including Auckland Council) on their behalf. Creative Communities is administered by the Community Development, Arts and Culture department.
- The Waste Minimisation and Innovation Fund, funded through the central government waste levy and administered by the Environmental Services unit.
- Any other third-party funding scheme, current or future, which is operated wholly or partially by Auckland Council under terms established by the funder.

### Other forms of community assistance

99. The Community Grants Policy governs a specific mechanism for providing financial support to communities / community organisations. There are other forms of community assistance that Auckland Council (or its predecessors) has provided or may provide, but which are outside the scope of this policy:
- Community occupancies (formerly community leases)

- Rates rebates / rates remissions / rates postponements
- Facility partnerships (for the capital development of community facilities in partnership with external organisations)
- Community loans and loan guarantees
- Koha given to Māori in specific cultural situations and settings (e.g. tangi).

## Programme structure

100. The Auckland Council community grants programme has two main components:

- **Local:** 21 individual local grants programmes, governed by local boards, and a multi-board grants programme governed by 'clusters' of local boards working together
- **Regional:** six regional grants programmes, governed by the relevant committees of the governing body.

## Local grants programme

### Overview

101. Auckland's 21 local boards fulfill a critical leadership, advocacy and governance role in their local areas. They have responsibility for a broad range of local matters, including improving the quality of the local environment, developing the local economy, and helping to build thriving communities, neighbourhoods and town centres.
102. Local grants are a key tool local boards can use to implement the vision for their area. This vision is set out in their local board plans, which they have developed in consultation with their local residents and stakeholders. Grants provide a very direct, tangible way of supporting local community aspirations and responding to local needs and opportunities. Taken together, our local grants programmes will also make an important contribution to delivering the Auckland Plan.
103. Each local board is supported to operate their own local grants programme under the broader umbrella of the Auckland Council Community Grants Policy. Local boards play an important role in shaping their individual programme, including:
  - Drawing on the outcomes in their local board plan to set priorities for local grants
  - Deciding how much of their local budget to allocate to their grants programme
  - Deciding which schemes will operate locally, the number of funding rounds, and when these will open and close
  - Confirming any additional criteria or exclusions that will apply
  - Considering staff assessments of grant applications and recommendations for which proposals to fund
  - Awarding grants
  - Receiving reports to understand how their grants have benefited the community.
104. The 21 individual local grants programmes have been developed by local boards, and are described in schedules to this policy. These schedules will be reviewed and updated over time to reflect new local priorities, or to capture any changes to the structure or operation of the grants programmes in each area.

### Shared characteristics of all local grants programmes

#### Setting priorities for local grants

105. Local board plans are developed for each of Auckland's 21 local board areas at the start of each political term. Local board plans describe the local community's aspirations, preferences and priorities for the subsequent three years, and beyond. Each local board adopts a local board plan to

inform the development of the Long-term Plan (the budget for all of council) and local board agreements (the budgets for each local board area).

106. Once the local board plans have been adopted, each local board will develop a set of specific priorities for their local grants programme based on the direction set out in their plan. Local boards will review their funding priorities on an annual basis, and publish any updates in advance of funding rounds opening for the new financial year. The three-yearly local board planning process provides the primary opportunity for local residents and groups to have input into their local board's priorities. Local boards can choose to involve the community in developing and reviewing their funding priorities on a more regular basis if they wish.
107. The purpose of the funding priorities is to provide clear guidance to potential applicants on what the board particularly wants to fund through its grants programme. These might be particular activities, population groups or geographical areas, or a combination of these. For example, a local board may seek to encourage applications for:
  - events that celebrate cultural diversity and bring different communities together,
  - historic heritage conservation in a particular town centre,
  - initiatives targeting local children and young people,
  - community activities in a neighbourhood with a large new housing development.
108. Activities that are not highlighted as a priority can still be considered for funding, but they may be less likely to receive a grant if schemes are oversubscribed.

### Grants budgets

109. Each local board will set aside funds for their local grants programme as part of their overall budget. Boards have discretion over how much to set aside for this purpose, above a minimum level to ensure their grants programme is viable to operate.
110. Local boards can elect to earmark amounts for granting for particular purposes when they develop their local funding priorities. For example, local boards may want to set aside part of their grants budget to fund applications that address their events priority, or to help meet their obligations to deliver improved outcomes for Māori.
111. The overall amount available per grants scheme in each local board area, and any amounts earmarked for particular purposes, will be published in advance of funding rounds opening for each new financial year. This indicates to staff and applicants the level of investment the board wants to make in that area, but budgets will remain flexible to enable them to respond to local demand.

### Exclusions / significant factors

112. Local boards can specify additional exclusions for funding to those set out in this policy – such as setting a maximum grant size, or excluding certain types of expenditure (e.g. catering).

113. Local boards can also specify additional factors they consider would significantly impact on their decision-making – for example whether the applicant is contributing resources to the project themselves, or has evidence of broader community support.

### **Grant schemes**

114. Local boards may operate three types of grant scheme as part of their local grants programme:
- Quick Response Local Grants (generally up to \$2,000)
  - Local Grants (generally over \$2,000)
  - Community Match Fund.
115. An indicative description of each grant scheme is provided below. Information about the schemes that are confirmed to operate in each local board area is set out in the 21 individual Local Grants Programme Schedules accompanying this policy. Full details of the number and timing of grant rounds, applicable dollar thresholds and the expectations and requirements for each grant scheme will be set out in the supporting materials for each local grants programme, which will be published a minimum of three months prior to the start of the financial year.
116. If an organisation applies for a grant that is larger than the grant they receive, then the funding agreement, payment timeframes and accountability requirements will reflect the size of the grant they receive.

#### ***Quick Response Local Grants scheme***

117. Quick Response Local Grants are generally for requests up to \$2,000 (the exact threshold will be individually determined by each local board).
118. Quick Response grants will be available at least twice per year, up to a maximum of five rounds per year. Information about the funding rounds scheduled in each local board area will be advertised on the council website.
119. Applicants for Quick Response grants will complete simplified online application and accountability processes, and funding decisions, short-form agreements and payments will be actioned as quickly as possible.

#### ***Local Grants scheme***

120. Local Grants are generally for requests over \$2,000 (the exact threshold will be individually determined by each local board).
121. Local Grants will be available at least once and up to twice per year. Information about the funding rounds scheduled in each local board area will be advertised on the council website.
122. Applicants for Local Grants will complete more detailed online application and accountability processes and sign formal agreements, with additional information required for higher value grants.

#### ***Community Match Fund***

123. Local boards may choose to set up a match funding scheme, where grants are provided in exchange for the community's 'match' of an equal value in volunteer labour, cash or donated goods and services.
124. Match funding enables local people to more easily access small-scale flexible funding for creative community initiatives and offers local boards the opportunity to optimise their funding pool. Match funding is an effective way of enabling resident-led community action and can have a significant multiplier effect for local neighbourhood development. Match funding recognises that grant funding is often just one ingredient in a broader partnership to bring about positive change. It acknowledges and values what communities themselves 'bring to the table', including their non-financial resources.
125. Where a local board chooses to set up a Community Match Fund scheme, supporting information will be made available to potential applicants, including criteria and guidance on how to 'value' or cost the applicant's in-kind contributions (e.g. volunteer labour).

### Grants provided on a recurring basis

126. All grants will need to be spent within one year of being uplifted unless otherwise agreed. However local boards have the discretion to award funding to any applicant on a recurring basis – i.e. commit to providing a grant of a specified size, for a specified purpose, each year – for up to three financial years.
127. In these cases the applicant will not need to re-apply each year during the term of their agreement. However recipients of multi-year local grants will still need to account on an annual basis for the funding they have received in that financial year, report on the progress they have made and demonstrate they are meeting any key performance indicators before funds will be released for the following year.

### Multi-board grants

128. Many community organisations serve or benefit multiple local board areas, reflecting the location of their offices, and/or the location of the communities they serve. In some cases, organisations' catchment areas were aligned to the boundaries of the former city and district councils in Auckland. However, although their catchments may cut across local board boundaries, many of these organisations are not considered to be 'regional' in terms of the new Auckland Council structure.
129. The Local Government Act (Auckland Council) 2010 states that, "In carrying out the responsibilities described ... a local board should collaborate and co-operate with one or more other local boards in the situations where the interests and preferences of communities within each local board area will be better served by doing so."
130. This section describes how clusters of local boards will be enabled to collectively support organisations, projects, services or activities spanning their combined areas.

### Multi-board clusters

131. Local boards will be supported to form multi-board 'clusters' and collaboratively resource grants that deliver benefits to residents across their combined areas. Local boards may establish clusters in response to a need identified by their communities, or to deliver outcomes they have mutually identified in their local board plans. Local boards can participate in more than one cluster.
132. Multi-board clusters may be:
  - Groups of local boards with **contiguous boundaries**, for example southern local boards wanting to support events in the Southern Initiative area
  - Local boards that share a **common characteristic or interest**, for example high migrant populations, or bordering the Hauraki Gulf
  - Local boards that want to address a **common issue**, for example by supporting employment programmes targeting young people

### Establishing a multi-board cluster and grants programme

133. Once local boards have instigated (or agreed to participate in) a multi-board cluster, council staff will work with participating boards to understand the outcomes sought, and design a grants programme to deliver this.
134. Participating local boards would:
  - Set aside an indicative level of funding from their local budgets to support the creation of a viable multi-board grants programme
  - Collectively determine the priorities for the fund, and agree any special criteria
  - Agree terms of reference for a representative forum or subcommittee structure with the necessary delegations to allocate grants on behalf of participating local boards.
135. Information about multi-board grants programmes will be released by Auckland Council a minimum of three months prior to the opening of a funding round. This information will include:
  - Funding priorities
  - Opening and closing dates
  - Decision meeting dates
  - Eligibility criteria
  - Guidance materials for applicants.

### Multi-board grants process

136. Applicants seeking support from a multi-board cluster will be able to make one combined application to all participating local boards in the cluster, receive a single decision and grant award, and submit one accountability report when their funded activities have been completed.

137. Multi-board grant applicants will need to outline how their proposal aligns with the published funding priorities of that cluster, and identify how their project, service or activity will benefit the residents of each local board area and the multi-board cluster area as a whole. Where an application only covers two local board areas, applicants should approach those local boards for support through their individual local grants programmes.
138. Auckland Council acknowledges that there may be instances where a project, service or activity clearly straddles multiple local board areas, but a suitable multi-board cluster does not exist to consider the application. In these cases, applicants will be supported by council staff to submit a single application for consideration by all impacted local boards. They will receive a single funding decision (reflecting any allocations made by the individual local boards) and provide a single accountability report. Applicants making this type of multi-board application will need to identify how their project, service or activity will benefit the residents of each local board area, and their combined area.
139. Quick Response Local Grants are not available to multi-board applicants; applicants seeking a Quick Response grant should apply to the local board where their activity is taking place.

## Regional grants programme

### Overview

140. The governing body of Auckland Council plays a critical role in providing strategic leadership and governance across the Auckland region as a whole. It has responsibility for a broad range of regional matters, including improving the quality of Auckland's environment, developing Auckland's economy and raising living standards for all Aucklanders.
141. Community grants are a key tool the governing body can use to implement the vision for the region as a whole, as set out in the Auckland Plan and other regional strategic documents . Grants provide a direct, tangible way of supporting Aucklanders' aspirations for their city and responding to regional needs and opportunities.
142. Auckland Council will operate regional grants programmes targeting six key activity areas aligned to strategic directions outlined in the Auckland Plan. In each case, a regional strategy, policy or plan has enabled – or will enable – the council to determine where it will target its resources in the medium to long term. Councillors will allocate funds to the regional grants programme through the Long-term Plan.
143. The regional grants programmes are:
  - Regional Arts and Culture Grants Programme
  - Regional Community Development Grants Programme
  - Regional Environment and Natural Heritage Grants Programme
  - Regional Events Grants Programme
  - Regional Historic Heritage Grants Programme
  - Regional Sport and Recreation Grants Programme
144. These regional grants programmes are described in schedules to the Community Grants Policy, as these schedules may be reviewed and updated over time as strategic priorities change.
145. Each regional grants programme will operate under the broader umbrella of Auckland Council's Community Grants Programme. The governing body (or relevant committee) will play an important role in shaping the individual programmes, including:
  - Drawing on the relevant regional strategic documents to set funding priorities
  - Considering staff assessments of grant applications and their recommendations for which proposals to fund
  - Awarding grants
  - Receiving reports to understand how their grants have benefited Auckland and Aucklanders.

## Shared characteristics of all regional grants programmes

### Funding priorities

146. The governing body will work with expert council staff to develop a set of specific priorities for each activity area within the regional grants programme, based on the direction set out in the regional strategic framework. The governing body may review these funding priorities from time to time. Any updates will be published at least three months in advance of the next funding round.
147. The aim of the funding priorities is to provide clear guidance to potential applicants on what the governing body particularly wants to fund. These might be particular types of activities, population groups or spatial priority areas, or a combination of these. For example, the governing body may seek to encourage applications for:
  - events that celebrate Māori culture as Auckland’s unique point of difference in the world
  - community development programmes taking place in the Southern Initiative Area
  - ecological restoration work to improve a particular regionally significant catchment area.
148. The governing body can also elect to earmark amounts for granting for particular purposes when they develop their funding priorities. For example, the governing body may want to set aside part of their overall grants budget for activities targeting Māori outcomes, or children and young people.
149. The overall amount available per regional grants programme, and any amounts earmarked for particular purposes, will be published a minimum of three months prior to the start of the financial year. This indicates to staff and potential applicants the level of investment the governing body may want to make in that area, but budgets will remain flexible to enable decision-makers to respond to emerging needs or opportunities.

### Exclusions / significant factors

150. As part of setting their funding priorities, the governing body can specify additional exclusions for funding to those set out in this policy – such as setting a minimum or maximum grant size, or excluding certain types of expenditure (e.g. international travel). They can also highlight factors they consider would significantly impact on their decision-making.

### Criteria to qualify for regional grants

151. To be considered ‘regional’ for the purposes of the Community Grants Policy, applicants must be able to show that their service, project or activity displays the following characteristics:
  - a. Primarily addresses regionally determined priorities
  - o The service, project or activity aims to deliver outcomes that have been determined by the governing body, and they cannot reasonably be delivered and managed at the local or multi-board level, and

- The activity may have some local impact and benefit, but the activity is primarily of regional significance and it would be unreasonable to expect the relevant local board(s) to meet the cost.

152. AND, that their service, project or activity is:

- b. Regional in terms of scale and/or significance
  - The number of participants or users of the service, or the size of the audience is clearly regional in scale, and/or
  - The applicant can demonstrate that there will be clear benefits from coordinating decisions and activities at a region-wide level (e.g. where they are operating a programme at multiple sites across Auckland), and/or
  - There is another clear marker of regional significance (e.g. the project targets an ecological area acknowledged by Auckland Council to be regionally significant).

153. AND / OR, their service, project or activity is:

- c. Regional in terms of impact and/or reach
  - The service, project or activity is available and reasonably accessible to anyone in Auckland regardless of their location, and/or
  - It targets a specific population group or niche audience that is clearly spread across the region, and
  - The applicant organisation can demonstrate that it has sufficient profile within that population group or niche audience to attract participants, users or audiences from across the region.

154. Some additional eligibility criteria are in place for specific regional grants programmes. For more information about how funds will be targeted, refer to the individual Regional Grants Programme Schedules accompanying this policy.

### Strategic relationship grants

155. Auckland Council intends to enter multi-year funding relationships with a small number of strategic organisations operating at the regional level. The majority will have an existing relationship with Auckland Council and be able to demonstrate a clear track record of achievement at this level.

156. Other characteristics these organisations will have are:

- Key capacity building organisations – have a ‘sector infrastructure’ role that supports other sector organisations to develop and connect
- Cornerstone providers within their sector – delivering the ‘highest level’ of expertise, or the highest quality service or experience
- Acknowledged strategic leadership and brokerage role within their sector
- Have the capability and capacity to think, work and advocate strategically at the regional level

- Work programmes and the outcomes they deliver have clear alignment to Council’s strategic outcomes and priorities
  - Robust strategic and business plans are already in place.
157. In most cases strategic relationship grants will be for a minimum of three years, and are designed to provide financial certainty and a longer time horizon for the recipient organisation’s planning and programming. We aim to support recipients to increase their capacity, expand their activities and/or make faster progress towards financial sustainability.
158. The parties will enter into a formal funding agreement that articulates clear performance objectives, and funding will be paid on an annual basis subject to performance (i.e. achievement of agreed outcomes).
159. Once the first round of strategic relationship grants have been awarded, allocations from these funding streams will be made as funding becomes available. At that time, funding priorities will be published and expressions of interest will be sought through a contestable process. This process will allow both the incumbent(s) and other organisations to make their case for support through a strategic relationship grant.
160. Decision-makers will consider final proposals against their funding priorities, and look to award funds to those organisations that are best placed to achieve the desired outcomes at that time.
161. If strategic relationship funding is available, this is clearly indicated in the description of each regional programme (below).

### **Funding rounds**

162. Details of funding rounds will vary between the regional grants programmes. Information about opening and closing dates for each programme will be published a minimum of three months prior to the start of the financial year.

## SCHEDULE ONE: Regional Arts and Culture Grants Programme

**Auckland expects that our arts and culture will thrive, unite, delight, challenge and entertain, and also drive wealth and prosperity for individuals and for Auckland.**

**Our arts and culture connect and strengthen us as communities. They provide enjoyment and they challenge us to see the world through the eyes of others: to connect across cultural divides, to celebrate our differences, and to explore new ideas and diverse ways of living.**

*Auckland's Arts and Culture (Chapter 3, Auckland Plan)*

### Purpose

163. This grants programme is designed to activate the potential of the arts and culture sector to deliver the Auckland Plan strategic direction to 'Integrate arts and culture into our everyday lives', contributing to the vision of making Auckland the world's most liveable city. The grants delivered through this programme will support the implementation of the Arts and Culture Strategic Action Plan.

### Outcomes

164. The outcomes sought through this grants programme support the goals and action areas for the sector set out in the Arts and Culture Strategic Action Plan:
- All Aucklanders can access and participate in arts and culture
    - Remove barriers to access and participation
  - Auckland values and invests in arts and culture
    - Grow and deliver strategic investment in arts and culture
  - A network of vibrant arts and culture organisations and facilities meet Auckland's diverse needs
    - Support arts and culture organisations and facilities to engage with Auckland's diverse population in innovative and inclusive ways
  - Arts and culture are intrinsic to Auckland's 'place-making'
    - Engage more artists and Aucklanders in art in public places
  - Auckland celebrates a unique cultural identity
    - Celebrate Māori and their culture as a point of difference
  - Auckland has a robust and flourishing creative economy
    - Foster a robust network of creative industries.

## Who the fund is targeting

165. Applications are invited from organisations that meet the criteria for regional funding, and are one or more of the following:
- Organisations that umbrella or represent specific art forms at the regional level
  - Organisations fulfilling a 'sector infrastructure' role for arts and culture in Auckland – e.g. through strategic advocacy, capacity and capability building, network development and creating new opportunities for practitioners and organisations
  - Regionally significant arts and culture venues (excluding those operated by Auckland Council or managed by Regional Facilities Auckland)
  - Professional arts and culture providers that are acknowledged leaders in their field, and delivering programming to an Auckland-wide audience
  - Iwi and other Māori organisations involved in arts and culture activity
  - Organisations delivering arts and cultural experiences to under-served populations and/or in non-traditional settings.

## Funding opportunities

166. This grants programme contains two distinct grant types: 'one-off' project grants, for standalone initiatives, and multi-year strategic relationship grants.
167. Details of the overall amount available in each financial year, and any amounts earmarked for particular purposes, will be published a minimum of three months in advance of each financial year.

### ***Project grants***

168. Project grants will be awarded through a contestable process at least once per year. The committee may run a second funding round later in the year to target specific priorities or if there are unspent funds.
169. There are two focus areas for project grants:
- Audience development and programming grants
  - To support professional providers to deliver a wide range of high quality arts and cultural experiences that would not otherwise be economically viable. These programmes should be capable of attracting audiences from across the Auckland region.
  - The focus will be on work delivered in accredited venues, but grants will also be considered for innovative work delivered in non-traditional settings, especially where this targets under-served audiences. Grants are intended to cover costs associated with delivering arts and cultural experiences, not core organisational overheads such as administration or accommodation.
  - Business and capacity development grants

- To increase the professionalism and build the sustainability of regional arts and culture organisations through the development of strategic, business and marketing plans; feasibility studies; organisational development and digital / web development activities.

### ***Strategic relationship grants***

170. Auckland Council wants to enter multi-year funding relationships with a small number of strategic organisations operating at the regional level. These organisations are – or are capable of becoming – the ‘cornerstones’ of a thriving arts and culture sector in Auckland. Refer to paragraphs 158-164 of the Community Grants Policy for more information about strategic relationship grants.

### **How grants will be allocated**

171. The governing body committee for this programme is the Arts Culture and Events Committee of Auckland Council (or equivalent).
172. Potential applicants for **project grants** will complete an application form. Council staff will assess these applications with the assistance of an external advisory group, and present their recommendations for the committee’s consideration. The committee will make allocation decisions and set any grant conditions.
173. Potential applicants for **strategic relationship grants** will be invited to submit Expressions of Interest in the first instance. The committee will select applicants to proceed to the next stage, with advice from council staff. Those applicants will be invited to develop comprehensive proposals for assessment, with a final decision by the committee.

## **SCHEDULE TWO: Regional Community Development Grants Programme**

**People are at the heart of the Auckland Plan – connected, resilient and inclusive communities underpin Auckland’s vision of creating the world’s most liveable city. With people at the heart of the Auckland Plan, community development must be at the heart of Auckland Council.**

*Foreword by Deputy Mayor Penny Hulse and Mayor Len Brown  
Thriving Communities: Community and Social Development Action Plan, April 2014*

### **Purpose**

174. This grants programme is designed to activate the potential of the community and voluntary sector to help deliver the six transformational shifts outlined in the Auckland Plan, and contribute to the goal of making Auckland the world’s most liveable city. The grants delivered through this programme will support the implementation of Thriving Communities: Social and Community Development Action Plan.

### **Outcomes**

175. The outcomes sought through this grants programme support the vision for the sector set out in the Auckland Plan, ‘Thriving Communities’ and ‘I am Auckland’:
- Resident and community-led action is flourishing
  - The voluntary and community sector is supported
  - There is a vibrant social innovation sector
  - Communities are safe and welcoming places for children and young people and foster a sense of belonging
  - Māori communities are strong and resilient

### **Who the fund is targeting**

176. Applications are invited from organisations that meet the criteria for regional funding, and one or more of the following:
- Regionally significant community development organisations
  - Organisations which facilitate regional collaboration through shared delivery
  - Organisations whose activities are unique enough that they fulfil a regional niche
  - Organisations which deliver on Auckland Council’s vision for the community and voluntary sector as outlined in Thriving Communities: Social and Community Development Action Plan
  - Organisations which prioritise and actively contribute to the achievement of Māori outcomes

- Organisations which provide strategic leadership within the community and/or sector
- Organisations which focus on the provision of capacity and capability building support
- Organisations which seek to develop enabling infrastructure and supportive conditions for the development of social innovation
- Organisations which promote transformative social change for target populations.

### Funding opportunities

177. This grants programme contains two distinct grant types: ‘one-off’ project grants, for standalone initiatives, and multi-year strategic relationship grants.
178. Details of the overall amount available in each financial year, and any amounts earmarked for particular purposes, will be published a minimum of three months in advance of each financial year.

#### *Project grants*

179. Project grants will be awarded through a contestable process twice per year. The committee may run a further funding round later in the year to target specific priorities, or if there are unspent funds.

#### *Strategic relationship grants*

180. Auckland Council wants to enter multi-year funding relationships with a small number of strategic organisations operating at the regional level. These organisations are – or are capable of becoming – the ‘cornerstones’ of a thriving community and voluntary sector in Auckland. They will already have robust strategic and business plans, and will be able to demonstrate a clear track record of achievement at this level. The majority will have an existing relationship with Auckland Council.
181. From time to time council will consider funding organisations that are new to the sector but who can clearly demonstrate that there is a need for their project or service at a regional level. Considering applicants such as these recognises the varying complexities and innovative responses that can arise from the community and voluntary sector. Refer to paragraphs 158-164 of the Community Grants Policy for more information about strategic relationship grants.

### How grants will be allocated

182. The governing committee for this programme is the Community Development and Safety Committee (or equivalent) of Auckland Council.
183. Potential applicants for **project grants** will complete an application form. Council staff will assess these applications and present their recommendations for the committee’s consideration. The committee will make allocation decisions and set any grant conditions.
184. Potential applicants for **strategic relationship grants** will be invited to submit Expressions of Interest in the first instance. The governing committee will select applicants to proceed to the next stage, with advice from council staff. Those applicants will be invited to develop comprehensive proposals for assessment, with a final decision by the governing body committee.

## SCHEDULE THREE: Regional Environment and Natural Heritage Grants Programme

Auckland expects that we will all have a sense of pride in our natural heritage, and share responsibility for living sustainably and looking after our environment...

The environment is an essential part of our identity, our economy and the way we live. We will safeguard what we have, and strive to radically improve our environment where it has become degraded... Our own wellbeing depends on this, and as guardians of the environment, we have a responsibility to leave it in a better state for future generations.

*'Auckland's Environment' – Chapter 7, the Auckland Plan*

### Purpose

185. The Regional Environment and Natural Heritage Grants Programme has been established to support the protection, restoration or enhancement of Auckland's environment, with a focus on our most significant natural heritage areas. The concept of natural heritage can refer to both public space and private land, and encompasses:
- Indigenous flora and fauna (biodiversity)
  - Terrestrial, marine and freshwater ecosystems
  - Natural features (geological/geomorphological)
  - The 'natural character' of rural and urban landscapes
  - Soil, water and air quality
  - The intrinsic mauri (life force) of the environment, and the customary and ancestral relationships and rights exercised by mana whenua with respect to the environment.
186. We will also use grants strategically to encourage and support Aucklanders to adopt environmentally sustainable lifestyles.
187. These purposes reflect the directions set out in a range of council strategies and plans, including:
- Auckland Plan
  - Long-term Plan
  - Operative District Plans and proposed Unitary Plan
  - Environmental Strategic Action Plan
  - Low Carbon Action Plan
  - Indigenous Biodiversity Strategy
  - Regional Pest Management Strategy

## Outcomes

188. The outcomes sought through the Regional Environment and Natural Heritage Grants Programme are aligned with environmental directives and actions identified in the strategies, policies and plans listed above.

189. These outcomes are:

- The mauri of the natural environment are in optimum health
- Our natural heritage is valued by all Aucklanders
- Our natural resources are sustainably managed
- Our waterways, coastline, harbours, islands and marine areas are treasured
- A high number and diverse range of Auckland's indigenous species and ecosystems are conserved: there are no regional extinctions of indigenous species and a reduction in the number of threatened or 'at risk' species
- Tangata whenua are empowered, enabled, respected and recognised in their customary Kaitiaki role, and participate in the co-management of natural resources
- Aucklanders adopt sustainable lifestyles, including reducing use of non-renewable resources and minimising waste
- Auckland communities are involved in the stewardship of our biodiversity and other natural resources
- Aucklanders help to address climate change through carbon sequestration, adaptive land management and better soil management.

## Who and what the fund is targeting

190. Grants will be targeted at improving environmental outcomes by supporting:

- Private owners of significant natural heritage areas including organisations, businesses and individuals
- Organisations, businesses and individuals contributing to the protection, restoration and enhancement of natural heritage on public land
- Organisations, businesses and individuals contributing to the protection, restoration and enhancement of natural resources including regionally significant waterways and catchments
- ana whenua and Iwi providing stewardship/kaitiakitanga for sites of cultural and spiritual significance to Māori
- Community organisations and educational institutions that are:
  - providing public education and advocacy across Auckland in relation to the environment, natural heritage and/or sustainability
  - contributing to increased community access to, and appreciation of regionally significant natural heritage places

- directly restoring, enhancing or maintaining regionally significant natural heritage places in community ownership.

191. We welcome applications from individuals and organisations engaged in (but not limited to) the following activities, projects and programmes:

- The protection, enhancement and restoration of regionally significant natural heritage on public open space or private land
- Reducing the vulnerability of regionally significant ecosystems and biodiversity and the ecosystem services they provide
- Fencing, planting and land management practices to improve water quality in regionally significant waterways and catchments
- Supporting the establishment of ecological connections throughout Auckland, extending the work already being done on green networks
- The protection, enhancement and restoration of novel ecosystems (a mixture of exotic and indigenous vegetation) for the benefit of indigenous biodiversity
- Providing Auckland-wide advocacy, education, infrastructure and support to help Aucklanders adopt sustainable lifestyles and take steps to mitigate greenhouse gas emissions.

### Qualifying for regional grants

192. The Regional Environment and Natural Heritage Grants Programme is focused on the protection, enhancement or restoration of regionally significant natural heritage areas and ecosystems wherever they are in Auckland. We intend to be strategic about which projects we support, based on the best outcomes for the region's environment and natural heritage as a whole.

193. By their nature, environmental and natural heritage projects take place in a particular location, but they often deliver outcomes which have regional significance and benefits from an environmental perspective. This can be the case even where the activities supported appear highly localised and small in scale, or have limited community involvement or access. Some initiatives and projects may have a localised impact, but are dependent on being part of a broader programme for their success.

194. Guidance on the specific criteria that must be met for environment and natural heritage areas to be considered regionally significant is available to potential applicants.

### Funding opportunities

195. Grants awarded through the regional environment fund will include a mix of 'one-off' and multi-year project grants for standalone initiatives, and multi-year strategic relationship funding.

196. Details of the overall amount available in each financial year, and any amounts earmarked for particular purposes, will be published a minimum of three months in advance of each financial year.

### ***Project grants***

197. Project grants will be awarded through a contestable process once per year. The committee may run a second funding round later in the year to target specific priorities or if there are unspent funds.
198. Applicants can only apply for a grant for the same purpose once per year. If the applicant intends to carry out multiple activities to protect or restore a natural area within a twelve-month period, the entire programme of work should be treated as one application.

### ***Strategic relationship grants***

199. Auckland Council wants to enter multi-year funding relationships with a small number of strategic organisations operating at the regional level. These organisations are – or are capable of becoming – the ‘cornerstones’ of a thriving environmental and sustainability sector in Auckland. Refer to paragraphs 158-164 of the Community Grants Policy for more information about strategic relationship grants.

### **How grants will be allocated**

200. The governing body committee for this programme is the Environment, Climate Change and Natural Heritage Committee (or equivalent).
201. Potential applicants for **project grants** will complete an application form. Council staff will assess these applications and present their recommendations for the committee’s consideration. The committee will make allocation decisions and set any grant conditions.
202. Potential applicants for **strategic relationship grants** will be invited to submit Expressions of Interest in the first instance. Council staff will assess these applications with the assistance of an external advisory group, and present their recommendations for the committee’s consideration. Those applicants will be invited to develop comprehensive proposals for assessment, with a final decision by the governing body committee.

## SCHEDULE FOUR: Regional Events Grants Programme

The world's most liveable city has events which excite passion for Auckland's people, places, heritage and lifestyle, inspire a sense of community belonging and stimulate economic activity.

*Auckland Council Events Policy*

### Purpose

203. The purpose of the Regional Events Grants Programme is to support a diverse, region-wide strategic events calendar that showcases Auckland, builds regional pride and identity and enhances a sense of community belonging.

### Outcomes

204. The outcomes sought through this grants programme are to:
- Bring people together to share memorable experiences
  - Celebrate Auckland and its people
  - Commemorate and respect important occasions
  - Profile Auckland and its diverse localities.

### Who and what the fund is targeting

205. This grants programme will support events delivered by a wide range of organisers and providers, from not-for-profit community groups through to professional event companies.
206. Grants will be targeted towards events that deliver one or more of the above outcomes and are *regionally significant*. In this respect, the Regional Events Grants Programme is designed to complement, not duplicate the roles played by:
- Auckland Tourism, Events and Economic Development (ATEED), which supports an annual programme of major events in the Auckland region, and
  - Local boards, which support local and sub-regional events across Auckland.
207. Any of the following types of events are eligible for consideration:
- Arts and cultural events
  - Sport and recreation events
  - Community events.

## Qualifying for regional grants

208. To meet the criteria for a 'regional event' set out in the Events Policy, the event must have the following characteristics:
- Strategic Outcomes
    - Delivers regional objectives that the governing body sets
    - Helps to deliver on Auckland-wide strategies, such as for sport and recreation, and arts and culture
    - Offers a distinctive event proposition for our region
  - Appeal— breadth and depth of the event
    - Demonstrates that the event draws from a regionally-distributed audience (for example, that it appeals to a specific demographic or interest group throughout the Auckland region)
    - Demonstrates a size and scale that is regionally significant
  - Profile
    - Has a region-wide and maybe national profile (as demonstrated through media and wide public awareness)
  - Co-ordination
    - Demonstrates that there will be clear benefits from coordinating decisions at a region-wide level (e.g. holding an event at many sites across our region to ensure regional distribution, attract sponsors, and market and promote the whole region).

## Funding opportunities

209. The majority of grants will be 'one-off' project grants for the delivery of standalone events, or a related programme of events. If the event organiser intends to deliver multiple related events within a twelve-month period, the entire programme should be treated as one application.
210. Grants will be awarded through a contestable process once per year, with consideration given to the need for decision-making well in advance of the busy summer events season. The committee may run a second funding round later in the year if there are unspent funds.
211. A small number of grants may be offered on a multi-year basis in exceptional cases. Multi-year grants would only be offered where the applicant can clearly show that the event needs a defined period of several years to develop its potential and deliver regionally-significant benefits. Applicants would be expected to demonstrate a track record of achievement at this level.
212. Details of the overall amount available in each financial year, and any amounts earmarked for particular purposes, will be published a minimum of three months in advance of each financial year.

### How grants will be allocated

213. The governing body committee for this programme is the Arts, Culture and Events Committee of Auckland Council (or equivalent).
214. Potential applicants will be invited to submit Expressions of Interest in the first instance. The governing body committee will select applicants to proceed to the next stage, with advice from council staff. Those applicants will be invited to develop comprehensive proposals for assessment, with a final decision by the governing body committee.

### Indicative priorities

215. Funding priorities for this programme have been determined by the Events Policy.
216. Events will be prioritised that:
  - support other council strategic outcomes, such as for sport and recreation, arts and culture, and community development
  - build regional identity
  - showcase Auckland's assets (such as its harbours and coastline, stadiums, and renowned and talented people) and what's special about our region
  - have a positive impact across our region
  - Events that expand the variety or range of events on the annual calendar
  - Events that fill an identified gap or meet the needs of a target community, such as children and young people
  - Events that celebrate Māori culture as Auckland's unique point of difference in the world
  - Events that take place during the winter 'low season', especially during long weekends and school holidays.
217. The governing body committee may also work with expert council staff to develop additional priorities for this grants programme, based on the Auckland Plan and other relevant strategies and plans, or to respond to opportunities or needs that may arise. These will be published a minimum of three months prior to each funding round.

## SCHEDULE FIVE: Regional Historic Heritage Grants Programme

**Our heritage is a legacy to pass on to future generations. Heritage reinforces our sense of history and place, is central to our wellbeing, and helps define what is unique and distinctive about Auckland. It is more than a social or environmental asset – it is also an important driver for economic development.**

*‘Auckland’s Historic Heritage’ – Chapter 4, the Auckland Plan*

### Purpose

218. The Regional Historic Heritage Grants Programme aims to incentivise best practice, increase understanding and encourage community involvement in the care of our regionally significant heritage sites and places. We will do this by providing grants to projects that advance the historic heritage outcomes identified in the Auckland Plan, the Long-term Plan, the Proposed Unitary Plan and the Heritage Incentives Policy.

### Outcomes

219. The outcomes we are seeking through this grants programme are:
- Aucklanders understand, value and share in our heritage
  - Auckland invests in heritage
  - Auckland Council works in partnership with mana whenua and key stakeholders to enable stewardship and kaitiakitanga of our heritage
  - Heritage is intrinsic to Auckland’s ‘place-making’, and builds on synergies with urban design, arts and culture and the natural environment
  - Auckland celebrates its unique cultural identity through its heritage.

### Who and what the fund is targeting

220. Many historic heritage places of significance are clearly identified in the Operative District Plans and the Proposed Unitary Plan. Grants will be targeted at promoting the conservation, protection, and restoration of these features by supporting:
- Private owners of significant heritage places (including but not limited to scheduled historic heritage places, category A and B), including organisations, businesses and individuals
  - Mana whenua, iwi and other Māori organisations providing stewardship/kaitiakitanga of historic sites, structures, places, areas and archaeological sites, and sites of cultural and spiritual significance
  - Community organisations that are:
    - providing public education and advocacy across Auckland in relation to historic heritage

- contributing to increased community access to, and appreciation of regionally significant heritage places
  - directly protecting and enhancing regionally-significant heritage places in community or public ownership.
221. We welcome applications from individuals and organisations engaged in (but not limited to) the following activities, projects and programmes:
- Work to protect or enhance the structural integrity of buildings – e.g. re-piling, re-roofing, electrical or plumbing work
  - Work to protect or enhance the structural integrity of land with scheduled heritage buildings – e.g. drainage works, retaining walls
  - Restoration of heritage features, including landscaping
  - Re-painting of heritage buildings in approved colours
  - Works to enable public access to scheduled historic heritage places including sites of significance to tangata whenua
  - Public information or interpretation materials
  - Professional services and advice including heritage conservation plans, maintenance plans, feasibility studies, business cases or other documentation to assist with future or additional works.
222. Organisations delivering cultural heritage projects or events that do not involve the protection and/or conservation of a physical building or heritage site should apply for grants through the Regional Arts and Culture or Regional Events Grants Programmes.

### Qualifying for regional grants

223. The Regional Historic Heritage Grants Programme is focused on the protection, conservation or restoration of regionally significant historic heritage sites and buildings, wherever they are in Auckland. We intend to be strategic about which projects we support, based on the best outcomes for the region's built heritage as a whole.
224. By their nature, built heritage projects take place in a particular location, but they often deliver outcomes which have regional significance and benefits from a heritage perspective. This can be the case even where the activities supported appear highly localised and small in scale, or have limited community involvement or access. Some initiatives and projects may have a localised impact, but are dependent on being part of a broader programme for their success.
225. Guidance on the specific criteria that must be met for heritage sites to be considered regionally significant is available to potential applicants.

### Funding opportunities

226. Grants will be awarded through a contestable process once per year. The committee may run a second funding round later in the year if there are unspent funds.

227. Details of the overall amount available in each financial year, and any amounts earmarked for particular purposes, will be published a minimum of three months in advance of each financial year.
228. The majority of grants will be 'one-off' grants for standalone projects, or a related programme of work. Applicants can only apply for a grant for the same purpose once per year. If the applicant intends to carry out multiple improvements to a heritage building or place within a twelve-month period, the entire programme of work should be treated as one application.
229. A small number of grants may be offered on a multi-year basis in exceptional cases. Multi-year grants would only be offered where the applicant can clearly show that the proposed project needs a defined period of several years to reach completion and deliver regionally-significant benefits.

### **How grants will be allocated**

230. The governing body committee for this programme is the Auckland Development Committee of Auckland Council (or equivalent).
231. Applicants will complete an application form. Council staff will assess these applications with the assistance of an external advisory group, and present their recommendations for the committee's consideration. The committee will make allocation decisions and set any grant conditions.

## SCHEDULE SIX: Regional Sports and Recreation Grants Programme

*'Aucklanders: more active, more often'*

Auckland offers sport and recreation opportunities without equal in the southern hemisphere which inspire and encourage all Aucklanders to be more active, more often and to live healthy lifestyles. Recreation and sport is a part of the fabric of Auckland that makes it vibrant, fun and interesting, attracting people to live, work, visit and invest here. There are activities for everyone, as part of everyday life, in ways and places that appeal to them.

*'Our Vision' – Auckland Sport and Recreation Strategic Action Plan*

### Purpose

232. The purpose of the Regional Sports and Recreation Grants Programme is to support implementation of the Auckland Sport and Recreation Strategic Action Plan. This plan was developed with extensive input from the wider recreation and sport sector, and contains actions for both the sector and Auckland Council. The grants programme will support regional sector organisations in their efforts to inspire and encourage Aucklanders to be more active, more often.

### Outcomes

233. The outcomes sought through this fund are:

#### **Participation**

- There are affordable and accessible options for participation in informal physical activity, recreation and sport.
- Our diverse communities enjoy healthy and active lifestyles.
- Māori participation in sport and recreation activities has increased.

#### **Infrastructure**

- Participants in a wide range of physical activities, recreational activities and sports are equally able to access suitable facilities and outdoor environments.

### Who and what the fund is targeting

234. Applications are invited from organisations that meet the criteria for regional funding, and are:
- Recreation and sport 'umbrella organisations' with a region-wide mandate
  - Regional federations or groupings of local or sub-regional sports code organisations
  - Sport and recreation providers or advocacy groups
  - Iwi and other Māori organisations active in the sport and recreation sector.

235. Regional Sports and Recreation Grants will be targeted towards the following purposes:
- Supporting more equitable access to those sport and active recreation activities that do not currently benefit from dedicated or council-subsidised facilities and outdoor environments.
  - Programmes that enable children and young people to develop skills which will help them have lifelong participation in sport and recreation.
  - Providing or supporting easier and more affordable access to populations with low participation rates in sport and recreation, particularly:
    - Māori
    - Children and young people
    - Populations with health and wellbeing needs
    - Those facing other barriers, such as access to transport and information
236. Regional Sports and Recreation Grants may be available to support a partnership between the council and another organisation to improve access to non-council owned facilities or outdoor recreation and sport assets. However, grants cannot be used for the development of new or existing facilities.

### **Funding opportunities**

237. This grants programme contains two distinct grant types: 'one-off' project grants, for standalone initiatives, and multi-year strategic relationship grants.
238. Details of the overall amount available in each financial year, and any amounts earmarked for particular purposes, will be published a minimum of three months in advance of each financial year.

#### ***Project grants***

239. Project grants will be awarded through a contestable process once per year. The committee may run a second funding round later in the year to target specific priorities or if there are unspent funds. These grants will primarily support programmes as indicated above, but the council will consider supporting other innovative projects or initiatives that achieve the overall outcomes of the programme.

#### ***Strategic relationship grants***

240. Auckland Council wants to enter multi-year funding relationships with a small number of strategic organisations operating at the regional level. These organisations are – or are capable of becoming – the 'cornerstones' of a thriving sport and recreation sector in Auckland. Refer to paragraphs 159-165 of the Community Grants Policy for more information about strategic relationship grants.

### **How grants will be allocated**

241. The governing body committee for this programme is the Parks, Sport and Recreation Committee of Auckland Council (or equivalent).

242. Potential applicants for project grants will complete an application form. Council staff will assess these applications and present their recommendations for the committee's consideration. The committee will make allocation decisions and set any grant conditions.
243. Potential applicants for strategic relationship grants will be invited to submit Expressions of Interest in the first instance. The governing body committee will select applicants to proceed to the next stage, with advice from council staff. Those applicants will be invited to develop comprehensive proposals for assessment, with a final decision by the governing body committee.