



# \$50,000 & UNDER FUNDING GUIDE APPLICATION

## **The Community Trust of Southland**

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*Enquiries always welcome*

## Background Information

### COMMUNITY TRUST OF SOUTHLAND VISION

The Community Trust of Southland's vision is to achieve positive outcomes for the Southland community, and through sustainable growth, to foster a creative, thriving, vibrant, healthy, safe and prosperous community. The Trust endeavors to achieve this vision through collaboration where possible, and by showing strong leadership where appropriate.

### ABOUT THE TRUST

The Community Trust of Southland's (CTOS) purpose is to manage its investments and apply the income from these investments by way of grants for charitable, cultural, philanthropic, recreational and other purposes beneficial to the Southland community. CTOS distributes between \$8 and \$10 million dollars of funding each year to the community. As demand is often greater than the funding available the Trust has to prioritise applications to enable support to be given to those projects that will give the greatest benefit to the people in the Trust's region.

### COMMUNITY TRUST OF SOUTHLAND SECTOR PRIORITIES

Grants are considered in the following sectors and funding requests will be given priority if they can demonstrate the following:

#### **Arts, Culture and Heritage**

- Encourage participation, and involvement in, and appreciation of Arts, Culture, and Heritage.
- Provide appropriate and sustainable facilities and infrastructure.
- Support Southlanders to achieve their creative potential.
- Reduce barriers to ensure reasonable access for all in the community.
- Celebrate the diversity of culture in Southland.
- Preserve and encourage interest in our heritage.

#### **Community Economic Development**

- Create social as well as economic benefit.
- Have strong community support.
- Provide a platform for other business development.
- Are not inconsistent with other sector goals.

#### **Education**

- Have a learner focused approach.
- Encourage partnerships and collaboration between relevant parties, including community.
- Support Southlanders to achieve their potential.
- Add value and quality to the learning environment.
- Address needs identified by community.
- Reduce barriers to ensure reasonable access for all in the community.
- Encourage participation in education and life-long learning.

#### **Environment**

- Protect, preserve and restore Southland's environment.
- Enable and encourage people to appreciate the environment.
- Promote awareness of environmental issues and concepts of sustainability.

#### **Health and Social Services**

- Improve health and social outcomes for Southland residents.
- Promote communication and collaboration between agencies in the Health and Social Services sector.
- Are effectively meeting a demonstrated need in the Health and Social Services sector.
- Support and empower vulnerable people in our community.
- Strengthen the ability of organisations to operate well in the Health and Social Services sector.

#### **Sport and Recreation**

- Encourage participation in sport and active recreation.
- Encourage community engagement in sport and recreation.
- Provide appropriate and sustainable facilities and infrastructure.
- Support Southlanders to achieve their sporting potential
- Reduce barriers to ensure reasonable access for all in the community

## ELIGIBILITY

Any community organisation or formally constituted group as described below is eligible to apply for a grant:

- An *incorporated society* with non-profit making objectives;
- A *charitable trust*; or
- A *club* or *other legally constituted body* which can demonstrate a formal constitution or rules.

Organisations such as service clubs or school fundraising associations do not usually qualify for grants, but the individual projects which they are fundraising for may apply directly to the Trust for funding assistance.

Organisations can apply **only once** within a 12month period, however if an application is declined the organisation can apply for a different project within the 12month period.

## AREA COVERED BY THE COMMUNITY TRUST OF SOUTHLAND

The Trust's area is the designated Southland province including Queenstown, Glenorchy, Arrowtown, Tapanui and Heriot areas. Projects outside of this area will not be considered unless there is a clear, demonstrated community benefit to the people of Southland.



## WHAT WE FUND

CTOS has two types of standard grant funding available, Operational and Project Grants.

- **Operational Grants** – these are generally only available to support operational expenses of health and social service organisations and are not available to national organisations unless the organisation can demonstrate a direct community benefit for the people of Southland.

A health or social service organisation wishing to apply for both an Operational and a Project grant must submit both applications for consideration at the same time.

- **Project Grants** – are for funding one-off community projects or programmes e.g. the construction of a community centre, purchasing equipment or a pilot programme.

## WHAT WE DON'T FUND

While we try to help as many projects and organisations as possible, there are some things that we don't usually fund through grants these include:

- Retrospective projects
- Travel, accommodation and uniforms
- Sponsorships
- Political organisations
- Individuals do not qualify for grants, other than under the Trust's scholarship programmes.
- Debt repayments
- Commercial organisations
- Endowments
- Lobby groups
- Overrun in project costs
- Religious or faith-based instruction, lobbying or education education

## Application Process

### KEY DATES

Closing Dates	Considered by Trustees
1 February	April
1 June	August
1 October	December

Organisations can apply **only once** within a 12month period, however if an application is declined the organisation can apply for a different project within the 12month period.

### RECEIPT OF APPLICATIONS

When an application is received, an acknowledgement letter will be sent, which will also advise of the time frame for making a decision. Usually, it will be approximately three months from when an application is lodged until a decision is made.

### INITIAL REVIEW

Applications will be reviewed for completeness i.e. that all necessary information has been supplied. Incomplete applications and/or applicants that cannot provide the required information in time for an informed assessment to be completed may be deferred until the next grant round.

### ASSESSMENT PROCESS

Trust staff will usually seek further information regarding applications. As part of the assessment process the following may be undertaken by the Trust:

- meetings with applicant organisations and visits by the Grants Manager to the applicant's organisation and/or project, staff will arrange suitable appointment times for site visits with the applicant group.
- make enquiries of other organisations, such as other funders, local authorities or government departments.

### DECISION MAKING

Once the Trust staff have researched the application a report is prepared for the Trustees. Initially, applications are considered by one of the Trust's Committees, these being:

- Art, Culture and Heritage
- Education
- Health and Social Services
- Community Economic Development
- Environment
- Sport and Recreation

The respective Committee then makes a recommendation to a full Board meeting of all Trustees, who assess each grant on its individual merits and in the context of other grants being considered within that grants round. Decisions on applications are made by the Trustees, not staff. Direct lobbying of Trustees by applicants is discouraged, as usually it is found to be counterproductive.

### NOTIFICATION

Applicants will be advised of Board decisions within 5 working days of the relevant Board meeting date. The approval letter will include any conditions associated with the grant. If an application is not approved, applicants will receive a written response outlining the reasons for this decision.

### APPROVED GRANTS & FUNDING CONDITIONS

Approved funding including the name of the organisation, project funded and amount funded will be made public by CTOS. All grants are to be uplifted within 12 months of the date of the grant being approved, unless otherwise agreed.

CTOS may include conditions as part of the funding decision. Conditions will vary depending on the type of project. Any conditions will be detailed in writing, as part of the "grant schedule" accompanying the approval letter. The following are examples of conditions often made by the Trust when approving funding towards a project.

- *To uplift the grant you will be required to provide written confirmation that the remaining funds have been raised.* CTOS must receive written confirmation from the applicant organisation that **all** funds required to fund the total project cost have been raised or secured. This safeguards against projects being started and unable to be completed due to shortfalls in funding.
- *Payment of the grant will be made based on XX% of invoices, as presented, up to a maximum value of \$XXXX.* Grants are generally paid out on a percentage of the total cost of your project i.e. the grant will be paid out as invoices are received by CTOS (either in one lump sum or progressively) at the percentage shown in the condition e.g. 25% of the invoice total until the maximum value of the grant has been uplifted. **Should there be any changes to the total project cost, you will be required to advise the Trust.** If the total project cost decreases, generally the amount of the grant will decrease accordingly.

## GRANT PAYMENTS

Payment terms are detailed as part of the conditions shown on the approval letter and grant schedule and grants can only be paid out once any conditions have been met.

Grant payments are made on a monthly basis by electronic transaction directly to your organisation's bank account, which is why we ask you for a bank-coded deposit slip. We generally do not pay by cheque. Organisations will receive written notification of any payments made.

Operational grants are generally paid in one instalment once conditions of the funding are met. Project grants, depending on the purpose, will be paid either in one lump sum, or progressively as a project evolves and costs are incurred.

You may be required to submit a copy of an invoice in order for payment of the grant to be made. For some projects, particularly building projects, which are taking place over a number of months, invoices are usually submitted on a monthly basis and the Trust will pay a percentage of these invoices to your organisation until the total amount has been paid out.

Grants made to organisations which are not registered for GST will be based on the GST inclusive project cost. Grants made to organisations which are registered for GST will exclude the GST component, on the basis that such organisations are able to claim back from the IRD any GST paid.

CTOS grants themselves do not include any GST within them.

## AUDITS/ACCOUNTABILITY AND REPORTING

To ensure accountability for the use of community funds the Trust may choose to undertake follow-up audits of grants approved.

Each organisation is required to provide an accountability report at the completion of their project or activity funded, outlining the benefits of the project. In addition, depending on the activity funded (e.g. length, type and complexity) the Trust may require progress or milestones reports to be completed and provided at intervals throughout the project as mutually agreed with the applicant.

Future grants to organisations that have previously received funding may not be approved until previous accountability reports have been received by Trust staff. Copies of accountability and reporting forms are available on the CTOS website [www.ctos.org.nz](http://www.ctos.org.nz)

## EVALUATION

The Trust encourages all grant recipients to evaluate their projects /services/programmes as part of good operating practice. The Trust may in conjunction with an applicant identify the need for a formal evaluation of the project to be undertaken e.g. for complex, innovative, pilot or other identified projects.

## ACKNOWLEDGMENT OF CTOS GRANTS

CTOS asks that suitable acknowledgement is given to the Trust. For example, acknowledging the grant in any newspaper article or press release; in your organisation's newsletter; on your website; or displaying a Trust banner at your event.

The CTOS logo is available to be downloaded from our website [www.ctos.org.nz](http://www.ctos.org.nz)

## Application Form Guidelines

We are aware that applying for funding can be difficult and time consuming; therefore these guidelines have been developed to help you complete the Application Form for Over \$5,000 and Under \$50,000 grant requests. If you require any further information, would like to discuss your project or need help with completing an Application Form, please contact the Trust on **0800 500 185 or (03) 218 2034**.

### SECTION 1: ORGANISATION DETAILS

**Contact People** - these people will be contacted if we have questions or require further information about the project, therefore they need to know the details of the application and project.

**Legal Status** - only formally constituted non-profit organisations may apply for a grant. To determine if your organisation/group is eligible check if you have a trust deed, constitution or other formal set of rules.

**What Your Organisation Does** - it is important we understand what your organisation does.

**Geographical Spread, Membership & Participants, Staff and Volunteers** - this helps the Trust understand the size of your organisation and its operations, and provides us with an idea of the number of people directly involved with your organisation. Membership and participant information may include e.g. for a sports or special interest club paid memberships or for an early childhood centre the number of children on your roll. CTOS can only approve grants for requests which will benefit the people within CTOS' defined geographic area.

**Annual Subscription** - this informs the Trust about the different revenue opportunities your organisation has and provides us with an understanding of membership structure.

**National Affiliation** - this tells us about the regional/national services or support your organisation may receive.

**Trustees/Officers** - for organisations/groups that have trustees please include e.g. chair, secretary, treasurer, trustees and for other organisations include names of e.g. president, vice president, and other committee members.

### SECTION 2: GRANT DETAILS

**Alignment With CTOS Sector Priorities** - when assessing applications the Trust takes into account the relevant CTOS sector priorities and how applications are aligned with these. Details of CTOS sector priorities are detailed on the front page of these guidelines and are available on our website [www.ctos.org.nz](http://www.ctos.org.nz)

**Project /Programme Grant** - these are for funding one-off community projects or programmes, e.g. the construction of a community centre or purchasing equipment. The Trust generally does not fully fund projects and will only do so in exceptional circumstances.

**Operational Grant** - these are generally only available to support the operational expenses of health and social service organisations. There is no set percentage specified for operational grants and the Trust generally does not fully fund operational expenses. Where an organisation has established a history with the Trust, multi year funding may be considered. Operational grants are generally not available to national organisations unless the organisation can demonstrate a direct community benefit for the people of Southland.

### SECTION 3: PROJECT/PROGRAMME DETAILS

**Purpose Of Grant** - it pays to assume we know nothing about your project, describe it clearly, detailing what exactly you want the grant for. The amount of information you provide will depend on the project, a larger or more complex project will require more detail. Use additional paper if necessary and attach any supporting information.

**Need For The Project/Programme and Community Benefit** - we are interested in knowing what is the identified need i.e. relevant trends, demographics or other data that supports the need for the project and what the benefit will be for the community.

**Numbers and Geographical Areas Benefiting** - we are particularly interested in supporting projects with a wide community benefit and projects or facilities which are for the exclusive benefit of one organisation will be considered a lower priority. However we do recognise that specific communities have unique needs and we are also interested in knowing who the target groups for the project are.

**Project/Programme Timeframes** - the Trust does not fund projects or programmes retrospectively i.e. projects that have commenced or been completed by the grant round closing date.

**Facility Related Projects** - Often a project will require consents under legislation e.g. a resource consent under the Resource Management Act 1991 and/or a building consent under the Building Act 2004. You need to fully investigate such requirements and the costs and timeframes associated with these.

**New or Existing Programme** - existing programmes will have a track record. New programmes will generally be a result of an identified need. Where possible attach supporting information, e.g. community needs survey.

**Organisations Providing A Similar Service** - avoiding duplication of programmes is important. If there are similar services we need to know why your project is unique and whether collaboration with an other group is feasible, and if not, why not.

**Attracting People To Your Project/Programme** - knowing how people will access your programme tell us how you are working with existing organisations and within existing networks. Having a well planned programme is essential therefore knowing how you will get people to attend the programme is essential to achieving success.

**Previous Applications To Local or Central Government** - CTOS will consider funding services/activities which are normally/traditionally funded by government (central or local) where it can be clearly demonstrated there is insufficient funding provided for the required service delivery.

**Who Will Carry Out The Programme** - having credible, experienced people undertaking projects or programmes helps to ensure effective use of community funding.

**Impact of Your Project/Programme** – CTOS encourages all grant recipients to evaluate their projects and programmes to determine if you have achieved your goals. This is also a very useful way of learning and further developing or refining a project or programme. If you need assistance with determining outcomes or ways to measure the impact of your project or programme please contact the Trust.

## SECTION 4: PROJECT/PROGRAMME FINANCIAL DETAILS

**GST** - grants made to organisations which are not registered for GST will be based on the GST inclusive project cost. Grants made to organisations which are registered for GST will exclude the GST component of the project cost, on the basis that such organisations are able to claim back from the IRD any GST paid.

**Project/Programme Budget** - you will need to develop a realistic budget for the project i.e. costs and level of funding applied for. Generally grants are approved as a proportion of the total project cost. Do not inflate budgeted costs as any decrease in actual costs will generally result in the grant being decreased accordingly.

- **Costs** - Organisations are asked to take care in developing their projects, especially in determining the project costs as generally the Trust will only consider an application for the same project once. Should there be any increases in costs, these will be the responsibility of the applicant.

List the key items that make up the total project cost. These should be supported by two quotes, where appropriate, e.g. for equipment, building work or capital items. A more detailed budget may also be attached. Donated materials and volunteer labour may be accepted as part of an organisation's contribution to a project. Volunteer labour however only relates to building associated projects, not time involved in e.g. preparing hobby classes, coaching, attending meetings and administration duties. CTOS values volunteer labour at the minimum wage rate. Documents quantifying any voluntary input must be provided in support of any request to have volunteer contributions considered.

- **Sources of Funding/Fundraising** - "Raised to Date" - are funds your organisation already have on hand for the project and may be from your organisation or from other funding sources. CTOS expects that applicants will have already raised a significant proportion of the total project cost. Priority is generally given to projects where this is evident. However having done so does not automatically secure funding from CTOS.

"Still to be Raised" - the amount requested from CTOS may not necessarily be the whole financial shortfall for the project. We encourage you to apply to other Trusts and/or other funding agencies. Also let us know if you apply to other organisations for funding assistance and receive notification of the outcome after you have sent your application to us. Doing so will not jeopardise the likelihood of success of your application.

**Quotes** - this helps the Trust to verify the true value of the project we request two quotes for e.g. equipment, building work, or capital items. In addition, this safeguards your organisation's own interest and ensures you are getting value for money being spent.

**Future Operational Costs** - organisations are expected to plan their projects carefully, including initial development costs for the project, and if appropriate ongoing operational costs independent of CTOS support.

**Contingency Plans** - CTOS cannot guarantee funding for a project and funding granted may be less than the amount applied for, as demand is often greater than the funding available for the round. It is therefore important to consider what other options there are available.

**Your Organisation's Contribution** - this shows us that you are committed to the project. A "reasonable" contribution will depend on the type of project, size of organisation, and other funding opportunities available. Priority is generally given to projects where it is evident the organisation is making a contribution.

## SECTION 5: OPERATIONAL DETAILS

**New Organisation** - it is helpful for the Trust to know how your organisation has been funded in the past.

**Purpose of Funding** - describe specifically why your organisation needs operational funding support and what difference any funding would make.

**Long Term Funding** - you need to have established how your organisation's operational costs will be funded in the long term and if appropriate ongoing operational funding independent of ongoing CTOS support.

**Contingency Plans** - CTOS cannot guarantee funding for a project. Funding granted may be less than the amount applied for, as demand is often greater than the funding available for the round. It is therefore important to consider what other options there are available.

**Organisations Providing A Similar Service** - avoiding duplication of services/programmes is important. If there are similar services we need to know why your organisation's services/programmes are unique and whether collaboration with another group is feasible, and if not, why not.

**Numbers and People Benefiting** - we are particularly interested in supporting projects with a wide community benefit. Projects/facilities which are for the exclusive benefit of one organisation will be considered a lower priority. However we do recognise that specific communities have unique needs and are also interested in who the target groups for the project are.

**Client Referrals** - knowing how people access your services tells us how you are working with other organisations and within existing networks.

**Local or Central Government and Other Agency Funding** – knowing how your organisation and its services/programmes are funded helps the Trust understand the overall operation of your organisation. CTOS will consider funding services/activities which are normally/traditionally funded by government (central or local) or other agencies but only where it can be demonstrated there is insufficient funding for the required service delivery.

**Previous Local or Central Government Funding** - if your organisation has previously received government funding, we need to know why this is no longer available and/or why any previous applications to local or central government have been unsuccessful.

**Meeting the Needs of Clients and the Community & Measuring your Outcomes/Results** - knowing what it is you are wanting to achieve as a result of your services/programmes is really important. The Trust encourages all grant recipients to establish outcomes and to evaluate their services or programmes to determine if you have achieved your goals. This is also a useful for learning and further developing a project in the future. If you need assistance with determining ways to measure the impact of your project please contact the Trust.

## SECTION 6: ORGANISATIONAL FINANCIAL DETAILS

Your latest audited annual financial statements and most recent bank statement for all accounts including investments as this helps us understand the financial position of your organisation. Where an application is from a local branch of a national organisation we look closely at the local services delivered in the Trust area, and the costs of this delivery. It is helpful if you can outline in your financial information the income received and expenditure incurred specifically in Southland, as well as at a national level.

**Financial Reserves** - if you have accumulated funds or reserves that are not able to be used for the project (e.g. a bequest given for another purpose, or tagged funds), please detail what such funds are put aside for and why they cannot be used in relation to this project.

## SECTION 7: GENERAL INFORMATION

Completing this helps the Trust know what channels of communication are most effective.

## SECTION 8: REQUIRED DOCUMENTATION

Check you have included all the required documents and necessary information. Incomplete applications can cause a delay in assessing your application. You may choose to provide other supporting information depending on your funding request. If your organisation has any background research, letters of support or other additional information relevant to your project please attach a copy. For facility related projects ensure that detailed costings and project plans are attached.

## SECTION 9: DECLARATION AND PRIVACY Act 1993 AUTHORISATION

Carefully read the information contained in this section. It is important the people signing the application form have the authority to do so. Approved funding i.e. the name of the organisation, project funded and amount funded will be made public.

## SUBMITTING A GRANT APPLICATION

Applications must be submitted in time to reach the CTOS office by 5pm on the closing date.

**Postal Address:**  
Community Trust of Southland  
P O Box 1646  
Invercargill 9840

**Courier or Personal Delivery Address:**  
62 Don Street  
Invercargill