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Purpose	<i>The Grants Policy guides Trust Waikato's distribution of a proportion of its funds to support a wide range of community groups and the projects that they undertake, with the ultimate aim of benefiting people in the Trust's region.</i>	

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1.0 Introduction

The following document summarises the Trust’s grant policies which exist within the context of the Trust Deed and the Trust’s vision, mission and principles. For completeness these overarching purposes are set out below:

2.0 Trust Strategic Plan 2017-2027

Trust Object: The Trustees shall stand possessed of the Trust Fund UPON TRUST to be applied for charitable, cultural, philanthropic, recreational and other purposes beneficial to the community principally in the Specified Area.

Trust Vision: Our vision is for resilient and vibrant Waikato communities.

Trust Mission: Our mission is to invest wisely and to grant effectively.

We aim to **invest wisely** by:

- governing well,
- utilising sound advice,
- continually seeking to strengthen our investment framework,
- investing for impact in regional economic development.

We aim to **grant effectively** by:

- working in accordance with our principles of practice,
- responsively giving to support and enable community aspirations,
- focusing on long-term impact.

Trust Region: The Specified Area set out in the Trust Deed “means all that area comprising the counties of Coromandel, Hauraki Plains, Matamata, Ohinemuri, Otorohanga, Piako, Raglan, Taumarunui, Thames, Waikato, Waipa, and Waitomo and including all cities, boroughs and town districts surrounded by or contiguous to those counties, as the said counties were constituted on the first day of October 1964.”

In today’s terms these are largely the areas of the following territorial local authorities: Hamilton City, Thames-Coromandel, Hauraki, Matamata-Piako, Waipa, South Waikato, Waikato, Otorohanga, Waitomo and Ruapehu.

The Trust acknowledges that this area includes much of the lands of the Tainui waka, and thus the people of Waikato, Raukawa, Hauraki and Maniapoto.

2.1 Te Tiriti o Waitangi

Trust Waikato is committed to achieving the aims and objectives of Te Tiriti o Waitangi by valuing and respecting the tangata whenua status of Māori within the partnership described in Te Tiriti.

The partnership is between tangata whenua, the indigenous people of this land, and tangata tiriti, the many diverse peoples who have come to this land. The Trust honours and respects all those within these partnerships.

3.0 Overview

Trust Waikato distributes a proportion of its funds annually, primarily through three Community Response Grant rounds, which can include Community Impact Grants and the Significant Capital Projects Fund each year. These grants support a wide range of community groups and the projects they undertake, with the ultimate aim of benefiting people in the Trust's region.

Applications must be made using the Trust's online application form. After assessment of each application by staff, trustees are responsible for all Trust Board grant decisions.

The criteria for grants are reviewed annually and the Trust sets priorities to guide its grant decision making.

4.0 Current Grant Focus

During the development of the Trust's 2017-2027 Strategic Plan, the Trust confirmed its focus on projects, programmes and organisations that deliver resilient and vibrant Waikato communities.

The Trust's role in providing traditional support to enhance community vibrancy is balanced by more targeted funding that seeks to deliver on the Trust's strategic priorities for impact.

The Trust's strategic priorities for impact include:

1. Facilitating improved outcomes for the highest need communities in our region.
Through this priority, the Trust will have a strategic focus on:
 - enhancing the intergenerational well-being of children, young people and whānau/families,
 - increasing resilience and connectivity in a rural/small communities,
 - increasing strength-based initiatives that achieve positive outcomes for Māori.
2. Strengthening the community sector by:
 - supporting key community stakeholders to strategically increase their capacity and capability,
 - facilitating conversations about partnership and investing in collaboration,
 - enabling change-maker organisations through investment in innovation.

4.1 High Needs Areas

Although rich in resources and capacity to improve social, cultural, economic and environmental well-being, the size, diversity and inequalities of the Trust's region present challenges for some groups and communities.

Some communities have distinct needs – perhaps because of their size, location or population characteristics – and the Trust supports community groups working actively to service these needs in identified areas. For example, we are aware of the issues of access and transport faced by remote rural communities.

We work alongside organisations with established networks in communities experiencing high needs. In particular, the Trust funds broker groups to facilitate access to information and funding opportunities in areas of high need.

The table below shows areas with the highest level of deprivation for local authorities in the Trust Waikato region, based on NZDep2013¹. Nationally, 20% of the population live in each quintile. Quintiles combine two decile levels; Q5 includes deciles 9-10, the most deprived areas. Different locations have different deprivation profiles.

Quintile	Local Authority	Specific Area with decile 9-10 (Census Area Unit)
Q5 ≥ 40%	South Waikato (51%)	Matarawa, Aotea, Putaruru, Stanley Park, Tokoroa Central, Parkdale
	Part Ruapehu (44%)	Manunui, Ohura, Tarrangower, Taumarunui Central, Sunshine-Hospital Hill
	Hauraki (40%)	Kerepehi, Paeroa, Waihi
	Waitomo (39%)	Tiroa, Te Kuiti
Q5 21% - 39%	Waikato (22%)	Huntly East, Taupiri Community, Meremere, Huntly West, Ngaruawahia
	Hamilton (26%)	Swarbrick, Porritt, Clarkin, Hamilton East, Bader, Crawshaw, Insoll, Hamilton Central, Enderley, Grandview, Frankton Junction, Melville
Q5 < 20%	Otorohanga (21%)	Otorohanga, Kawhia
	Thames-Coromandel (19%)	Coromandel
	Matamata-Piako (12%)	Waharoa
	Waipa (10%)	Tokanui

<http://www.ehinz.ac.nz/indicators/population-information/socioeconomic-deprivation-profile/>

Trust Waikato will support community groups active in the areas of highest deprivation. The Trust is also aware of the particular needs of some rural communities and of communities with limited access to other funding.

5.0 Grant Categories

Organisations applying for grants are categorised, by staff, according to the New Zealand Standard Classification of Non-profit Organisations (NZSCNPO) as specified by Statistics New Zealand.

The categories are:

1. Culture and recreation
 - 1.1 Culture and arts
 - 1.2 Sports
 - 1.3 Other recreation and social clubs
2. Education and research
3. Health
4. Social services and emergency relief
5. Environmental and animal protection
6. Economic, Social and Community Development
 - 6.120 Tangata Whenua Governance
7. Civic and advocacy groups
8. Philanthropic and other intermediaries
9. International organisations, aid and relief
10. Religious congregations and associations
11. Unions, business and professional associations
12. Not elsewhere classified

¹ NZDep2013 combines nine variables from the 2013 Census which reflect eight dimensions of deprivation. The (ordinal) decile scale ranges from 1-10, where 1 represents the least, and 10 the most, deprived areas. Quintiles combine two decile levels – Q5 includes deciles 9-10, the most deprived areas.

These categories assist the Trust to understand the impact of its grants and to track priorities and trends in grants over time.

6.0 Grants Budget

Each year the Trust sets the budget for the following year's grants. The Trust aims to maintain a consistent level of grants, and to distribute approximately 4% per annum of the Base Capital Value of the Trust Fund. However, the grants budget may be affected by the Trust's level of reserves and return on investments.

A small portion of the annual grants budget is set aside as a **Grants Contingency Fund** each year to provide for out of round applications.

Any application for a very large capital project that has regional significance, or greater, may be considered outside the annual grants rounds (see section 7.0).

7.0 Annual Grants Rounds

Trust Waikato's funding framework is designed to ensure that the Trust's funding is available to a wide range of communities and organisations.

Trust Waikato's funding framework is as follows.

7.1 Community Response Grants

There are three general Community Response rounds per annum. These rounds close in February, June and September, with payments made to successful organisations generally 12 weeks later.

Usually only one application will be accepted from each organisation in a round. Organisations can only receive one Community Response Grant per annum. A group which has had an application declined may make another, different, application to a later round in the same year (see section 9.0).

Ideally groups should have spent the previous year's grant before applying again.

7.2 Significant Capital Projects Fund

Significant Capital Projects funding is available for grants towards capital projects with total costs of \$1million or more.

Applications for capital projects with total costs of \$1million or more **MUST** come to the Significant Capital Projects Fund, not to the Trust's three Community Response rounds.

Applications for Significant Capital Projects funding are considered once a year, with the same closing date as Round 2 on the Community Response Grant, and must be completed online.

Applications must include a completed, up to date feasibility study.

Organisations must contact Trust Waikato staff to discuss projects that might be considered under this fund.

The Trust will be proactive in discussing **major projects** with other funders and should be able to indicate potential support to applicants (see also section 15.0).

The Trust will base its decisions on the size of grants for significant capital projects on the community benefit and need for funding for each project.

Those organisations with committed Significant Capital Project Fund Grants that are not paid out within 12 months of the approval (see When Project Proceeds, section 11.5), must report progress on the project to the Trust Waikato Board before consideration of the next round of SCPF applications.

7.3 Community Impact Grants

The Trust may invite applications for Community Impact Grants aimed at bringing about transformational change. Community Impact applications will be considered by the Board once they are assessed and a recommendation has been prepared by Trust staff.

Community Impact Grants comprise two funding streams: Seed Grants and Impact Grants. Seed Grants enable groups to explore, innovate and scope out a service or project idea. Community Impact Grants support large scale projects that aim to result in transformational change for the people, families, communities and places where need is greatest. These grants may result in multi-year funding commitments.

Collaborating is acknowledged as key to addressing complex problems, which are beyond the capacity of any one group working alone. The Trust will enter into a partnered relationship where there is a focus on shared values, principles and goals, and an explicit attempt to seek some form of permanent improvement to community well-being.

Invited applicants for community impact funding, will need to provide additional information with their application. The information will vary depending on the nature of the potentially transformational project and will be detailed when the invite to apply for a Community Seed Grant or Community Impact Grant is extended.

Community impact funding, if approved, will be subject to the establishment of a collaborative agreement for reporting the achievement of agreed goals at interim points. An appropriate formal evaluation is required. The Trust may contribute towards the evaluation cost for a Community Seed Grant or Community Impact Grant.

7.4 Multi-Year Grants

The Trust may invite applications for Multi-Year Grant commitments in any of the three Community Response Grant rounds.

In making Multi-Year Grants the Trust is mindful of the need to balance commitments to Multi-Year Grants and annual grants.

Multi-Year Grants will be considered within the following guidelines:

- a. the purpose of the organisation and its work is closely aligned with the grant focus of the Trust;
- b. **and** a Multi-Year Grant will assist the organisation to better achieve its mission, provide ongoing quality services, strengthen its planning or build its capacity;
- c. **and** the organisation has a track record with the Trust of at least three consecutive years of grants and appropriate accountability reporting;

- d. **and** a qualified auditor has audited or reviewed the annual financial statements of the organisation with no significant qualifications. Financial statements for large organisations (expenses \$1million or more) must be audited by a qualified auditor.

Payment of the next year or years of Multi-Year Grants will be 'approved in principle' subject to the following:

- a. an appropriate progress report and the most recent end of year financial statements (audited or reviewed, as in section 11.1 e) being received by the date specified in the communication informing the organisation of the Multi-Year Grant commitment;
- b. **and** there being no material changes to the organisation's work or financial position.

Normally Multi-Year Grant commitments will be for the same grant amount each year.

Multi-Year Grants will not usually be for amounts less than \$10,000.

Organisations receiving a Multi-Year Grant commitment may also apply for a grant towards major capital works or a significant new service over the same time.

Organisations declined for a Multi-Year Grant will be considered for a single grant within the same round.

7.5 New Zealand-wide Applications

New Zealand-wide applications (see section 18.0) received through the combined community trusts of New Zealand will be considered, where possible, at one of the grant rounds.

8.0 Out of Round Applications

Out of round applications (those received outside of the grant round timetable) will not be considered except where there is an emergency situation or an event which could not have been anticipated.

9.0 Group Eligibility

9.1 Geographic Location

In general, organisations eligible for grants must operate in the Trust area (see section 2.0). National organisations will be considered for grants to the extent that they provide benefit to the Trust's region. Those organisations that fall slightly outside the boundaries of the region will also be considered to the extent that they provide benefit to the region.

9.2 Type of Organisation

In general, organisations eligible for grants must:

- a. be an incorporated society, or
- b. be a registered charitable trust, or
- c. be a limited liability company fully owned by one of the above and operating for charitable purposes, or
- d. be controlled or co-ordinated by an arm of central or local government, or
- e. be controlled by an association of persons under an adopted constitution and rules.

9.3 The Trust does not fund individuals.

9.4 Specific Provisos

The following organisations are subject to specific provisos:

- a. the Trust will not fund church-based or religious activities, which should in the view of a reasonable person, be the responsibility of churches to fund. The Trust only funds projects being sponsored by churches or religious organisations where there is a clear wider community benefit that will be derived from such a project.
- b. the Trust will consider projects sponsored by local or central government in a co-ordinating role. However, see section 14.0 Areas of Government Responsibility.
- c. schools (including Parent Teacher Associations) must make applications through their Board of Trustees.
- d. the Trust cannot fund purely for-profit groups. However, it will consider social enterprise initiatives and applications from not-for-profit groups that have an aim of supporting the community through enhanced economic activity.
- e. the Trust will generally not fund those groups that have a polarised political activity as their main focus.
- f. the Trustees need to be able to see that funding will provide a direct benefit to people. The Trust will, for example, only fund environmental projects and projects relating to animals, where such a direct people benefit can be shown.

10.0 Project/Programme Eligibility

10.1 Eligible Operations and Projects

By preference grants will be made to:

- a. organisations that offer their facilities or services for the benefit or enjoyment of the public and contribute to community vibrancy and resilience,
- b. organisations that have a proven track record in their area of operation, though the Trust may support new organisations that have significant potential,
- c. organisations that can show community support for their operation,
- d. organisations applying for projects that are consistent with the Trust's current grants focus (see section 4.0),
- e. organisations that have strong volunteer involvement,
- f. organisations that can show that their activity or project can make a real difference for the highest need communities in its region.

The Trust will have regard to the overall level of community benefit that could be expected to be derived from the applicant group or the project.

10.2 Ineligible Projects

Generally, the Trust will not make grants for:

- a. individuals,
- b. travel overseas or outside of the region,
- c. conference attendance or accommodation,
- d. vehicles,
- e. retrospective expenses, completed projects or events,
- f. uniforms,
- g. prizes and trophies,
- h. commercial organisations,
- i. religious ministry,
- j. loan repayments or other debt instrument repayments,
- k. venture capital,
- l. endowments,
- m. fundraising.

Potential applicants are encouraged to contact a Grants Advisor as exceptions may be made where the project can demonstrate strong links to a focus for the Trust (refer to section 4.0).

11.0 Assessment of Applications

11.1 Information Required

- a. Applications must be made on the Trust online application form.
- b. Applicants must apply for funds for a specified purpose. A greater level of detail and project justification will be required for applications which request larger amounts. The level of grant approved is relative to the size of the project.
- c. The following documentation is required in addition to the completed application form:
 - financial statements,
 - chairperson's report, or report on previous year's activities,
 - latest bank statements, for all accounts,
 - a pre-encoded bank deposit slip or bank verified account details,
 - accountability for any previous grants.
- d. A grant can only be direct credited to a group's (not an individual's) bank account, hence a pre-encoded bank deposit slip or bank verified account details are essential.
- e. Presentation of financial statements
The most recent financial statements must be included with an application.
The assessment process includes analysing the financial sustainability of applicant organisations.

New financial reporting standards for public benefit entities and registered charities came into effect on 1 April 2015. Organisations need to ensure their financial statements comply with these standards. Further information on the accounting standards can be found at the following websites:

www.charities.govt.nz

www.xrb.govt.nz

Applicant organisations that are neither a public benefit entity nor a registered charity should present financial statements which comply with current Generally Accepted Accounting Practice in New Zealand (NZ GAAP).

- f. Auditing of financial statements
The Trust advises groups to have their financial statements reviewed or audited as appropriate to the size, expenditure and operations of the group.

If applicant groups are considered large (expenses \$1,000,000 or more) or medium (expenses \$500,000 or more and less than \$1,000,000) they will need to comply with the applicable auditing and assurance standards.

Charities Act 2005 (As amended by the Charities Amendment Act 2014) S42C and S42D. When financial statements must be audited or reviewed	
Charity Size	Assurance Required
Total operating expenditure \geq \$1million	Audit
Total operating expenditure \geq \$500,000 and $<$ \$1million	Audit or Review
Total operating expenditure $<$ \$500,000	None

(Note that organisations receiving Multi-Year Grant commitments must submit audited or reviewed financial statements annually – see section 7.4 d.)

11.2 Late Applications

Applications to all funding rounds close at 4.30pm on a Friday. Extensions to the deadline are not given. Applications received after 4.30pm on the closing date for a funding round are accepted into the next round.

11.3 Level of Financial Reserves

The Trust acknowledges it is prudent for organisations to carry financial reserves for their operations and that funding may be tagged for specific projects. The Trust also acknowledges some groups receive bequests, endowments or other investments, which may be tagged for special purposes, including ongoing income generation.

However, if an organisation is carrying reserves greater than one year of operating costs, with the funding not tagged for special projects, then the Trust is less likely to approve a grant to the organisation.

11.4 Unlikely to Proceed Applications

- a. In general, the Trust only commits funds to projects when it is clear that the project in question will be able to proceed within a year.
- b. When a group's application is declined as 'unlikely to proceed' within a year, the group will be invited to discuss with staff, the application and appropriate timing for an application to be submitted at a later grant round.

11.5 When Project Proceeds

- a. Staff are given the discretion to recommend a conditional grant to a group, notwithstanding the 'Unlikely To Proceed' rule, above, when the grant would otherwise fulfil the Trust's strategic objectives with regard to targeted groups, issues or areas.
- b. These 'when project proceeds' grants enable the Trust to indicate to a group a grant commitment, but to not pay out the grant until the group provides evidence to the Trust that the project, as originally applied for, is going ahead. This includes confirmation that funding for the whole project has been obtained.
- c. If the project has not proceeded within a year of the application being made, the organisation must provide an annual brief update on when the project is likely to proceed.
- d. 'When project proceeds' grants are generally available for two years. An extension for a further year may be sought by writing to the Trust requesting an extension, and is approved, or not, by the Chief Executive. However if the grant has not been used within three years, the grant commitment will be withdrawn. In this situation, should the project be pursued, the organisation may apply for a new grant in the normal way, but must make a strong case for the viability and likelihood of the project going ahead within a year.

11.6 Grant Misuse

The Trust expects that grants will be spent for the purpose for which they are granted and that organisational or community benefits will be the result. Grants should not be donated to other community groups. Using a past grant for a purpose other than that approved by the Trust will mean that at least the next subsequent application will be declined. Before the funds are spent, groups may request a change of use for a grant by contacting a Grants Advisor.

11.7 Fraud

The Trust views seriously any attempt to defraud the donation process and will take action if false or misleading information is provided, or information which has a bearing on the application is not disclosed, at any time during the grant process, or when reporting on the accountability and outcomes of a grant.

12.0 Grant Amounts

12.1 Considerations

The amount granted to each group will take a range of factors into consideration. The current minimum grant is \$500 and there is no maximum set. The main considerations are the size of the group, the group's history, the project being undertaken and its level of community benefit, and the project's fit with the areas of focus (see section 4.0).

12.2 Organisations with Members

In general, organisations with a greater number of members will receive larger grants. However, groups in areas of high deprivation (see section 4.1) are also likely to receive higher grants, particularly if their access to other funding is limited.

12.3 Level of Contribution

The Trust will, by preference, support organisations that can sustain their operation independently of any contribution received from the Trust. In practice this means that the Trust prefers not to fund more than 10% of the operating costs of an organisation.

For smaller capital projects (below a total cost of \$1million), the Trust will provide **up to 10%** of the capital costs of the project. This level of contribution means that there is still a significant requirement for the group to raise the rest of the funding themselves.

The 10% policy for both operational costs and capital projects can be varied up to 20% if:

- a. there is significant volunteer labour, fundraising or other meritorious factors,
- b. the project is regional in nature,
- c. the group operates in a high deprivation area (see section 4.1).

In exceptional circumstances, on a case-by-case basis, the Trust may consider funding a higher percentage. See also section 7.2 Significant Capital Projects Fund.

12.4 Sporting Groups

In assessing the level of contribution to sporting groups the Trust will take into account the extent to which a sporting group's plans are co-ordinated with other local, regional and national plans and the number of participants in the sport.

13.0 Accountability

An accountability report will be required either when the group makes a subsequent application or within 12 months of receiving the grant, whichever comes first.

Groups will be required to report on the expenditure and outcomes of the grant, for example, how the money was spent and the impact the grant had on the community. Accountability conditions may be imposed on grants, in writing, from time to time. If false or misleading information is provided or key information is not disclosed, then the Trust may take action against this fraudulent reporting. As shown in the table below, the level of accountability detail varies with the size and type of grant:

Grant type:	Accountability required:
Community Response ≤\$50,000	Community benefit survey
Community Response >\$50,000	Community benefit survey with evaluative component
Multi-Year	Annual progress report and financial update
Significant Capital Projects Fund	Community benefit survey
Community Impact	Formal evaluation, as agreed when grant approved

14.0 Areas of Government Responsibility

14.1 Criteria for Funding Decisions

The Trust funds projects and organisations in partnership with the government. However, the Trust does not wish to take over areas that are clearly the responsibility of central or local government. The following questions are considered when deliberating on such applications:

- a. would a reasonable person expect the government to fund this project?
- b. can the organisation afford to fund the project itself?
- c. will the organisation's members directly benefit from the project?
- d. is there a more general community well-being benefit from the project?
- e. given all the circumstances, will the project make a real difference in the organisation and/or community?

14.2 Exceptions

At times the Trust will consider moving into areas which would traditionally be considered the responsibility of local or central government. However, any such applications will be treated cautiously and on the merits of the application.

14.3 Guidelines for Educational Applications

Guidelines for applicants in such education areas are found at Appendix A.

15.0 Consultation

15.1 Other Funders

Trust Waikato wishes to be proactive in discussing major projects with other funders and may be able to indicate potential support to applicants.

The Chief Executive and Grants Advisors may discuss draft grant recommendations on a confidential basis with appropriate parties, as agreed with the applicant.

Funding priorities of other funders will be considered when making grant recommendations and decisions.

15.2 Local Authorities

Local Authorities within the Trust's area may be invited to inform the Trust of their community priorities. The Trust will be advised of key projects included in the councils' long-term council community plans and/or annual or local community plans.

These local priorities will be considered when making grant recommendations and decisions.

16.0 Research Projects

16.1 Support for Research

The Trust may support research in line with its grant focuses and policies as set out above.

16.2 Tertiary Education Research

The Trust is keen to work as a funding partner with tertiary education providers to assist the research being undertaken by the staff and students of these institutions, where the research fulfils the criteria set out in Appendix A.

If any of these institutions are undertaking research that they would like the Trust to consider then they should submit an application to the Trust as part of the Trust's usual grant process.

17.0 Conflicts of Interest

Trustees are required to declare any direct or indirect conflict of interest in relation to any application being considered. For example, a direct conflict exists when a Trustee is a member of an applicant organisation. An indirect conflict exists when a member of a Trustee's immediate family is a member of an applicant organisation. Staff members are also required to declare any conflicts of interest.

Trustees and staff are also required to disclose interests relating to the contractual or financial business of the Trust.

The full policy and procedures relating to the disclosure of interests are outlined in Section 9.0 of the Governance Manual.

18.0 New Zealand-wide Applications

From time to time all New Zealand Community Trusts receive applications that have national benefit. Guidelines for applicants in such areas are found at Appendix C.

Appendices

Appendix A **Guidelines for education applications**

See also section 14.0 Areas of Government Responsibility.

Early Childhood Education (ECE)

- 1.0 Background
Trust Waikato has approved guidelines for assessing grant applications from the early childhood education (ECE) sector to ensure that its grants to ECE's reach the groups with the most significant needs and are aligned with the Trust priorities overall.
- 2.0 How do we assess ECE applications?
 - 2.1 Trust Waikato will assess applications from all not-for-profit ECE's on a case-by-case basis.
 - 2.2 Priority will be given to ECE's:
 - in rural locations,
 - in areas of deprivation,
 - who offer culturally specific services – Kōhanga Reo, Pasifika,
 - who are less likely to receive significant government funding (for example, those not eligible for the 20 free hours scheme).
 - 2.3 The Trust **does not** fund core educational functions such as books, computers, basic educational resources, teachers' salaries and operational expenses.
 - 2.4 Assessment of applications will take in to consideration the Trust ECE priority areas as outlined in point 2.2 above. The following projects will be considered for funding:
 - sunshades,
 - playgrounds,
 - outdoor sports or play equipment,
 - heating equipment,
 - necessary building alterations.

While this list is specific, it is not exhaustive; each application will be assessed on a case-by-case basis with 'need' of the community being the paramount criteria.

Primary and Secondary Education

- 1.0 The Trust **does not** fund classrooms, teachers, teaching and learning resources, IT, libraries, sports equipment and other core facilities and resources in schools (except where the cost may legitimately be part of a community-based education programme).
- 2.0 The Trust may make a contribution to facilities located at schools, where there is clear evidence of wider community need, accessibility and availability of the facility. Past examples have included playgrounds, gymnasiums, halls, performing arts centres and swimming pools, which have been made permanently and affordably available to the wider community.
- 3.0 The Trust will consider applications from community-based organisations for programmes offered in schools.

The following questions will be considered when assessing such applications:

- a. is the programme likely to improve significantly the educational or life outcomes for children and young people who might otherwise struggle?
- b. what evidence is there of successful outcomes?
- c. is the programme sustainable beyond Trust Waikato funding?

Appendix B Guidelines for applications to support research

See also section 16.0 Research Projects.

1. The Trust may support research in line with its grant focuses and policies as set out above.
2. The Trust is keen to work as a funding partner with tertiary education providers to assist the research being undertaken by the staff and students of these institutions, where the research fulfils the criteria set out below.

If any of these institutions are undertaking research which they would like the Trust to consider then they should submit an application to the Trust as part of the Trust's grant process.

All staff applications from one institution should be compiled together by the Research Officer/Research Director of that institution and forwarded to the Trust.

An institution may apply for a lump sum to support student projects and then itself make the allocation to appropriate student projects, using the criteria set out below (see 16 .2). The institution must report annually to the Trust on the allocations made. The institution will also be responsible for forwarding, to the Trust, an accountability report on all the projects funded.

3. The Trust will assess any such applications based on the criteria set out below (It is also noted that the assessment of student research by Waikato University and the Waikato Institute of Technology should follow similar lines).

As with the student research, the Trust would also expect to receive a one-page summary of the completed research, in electronic format, which can be included on the Trust's website.

Assessment Criteria for Research

The Trust may fund research where:

- a. The research directly involves, or may provide a benefit to, a group which itself is eligible to receive a Trust Waikato grant, and the research aims to:
 1. improve the effectiveness of the Trust's grant to that group, or
 2. improve that group's operations, or
 3. improve the lives of the beneficiaries of that group.
- b. In terms of individual research projects the Trust will give priority (see also section 4.0, Current Grant Focus) to research focused on:
 - enhancing the intergenerational wellbeing of children, young people and whānau/families,
 - increasing resilience and connectivity in rural/small communities,
 - increasing strengths-based initiatives that achieve positive outcomes for Māori,
 - projects that protect our environment, preserve our history and promote understanding of, and which respond to, the culturally diverse nature of our region,
 - community groups which aim to support the community and community facilities through sustainable economic activity.

Appendix C **New Zealand-wide applications**

See also section 18.0 New Zealand-wide Applications.

From time to time all New Zealand Community Trusts receive applications that have national benefit.

The following process has been agreed by all Trusts:

1. Before an application is promoted to other Trusts it must be within the policy and guidelines of the host Trust or recommended by the Chairpersons Group for consideration.
2. If an application is considered worthy of national consideration, the host Trust is to circulate:
 - a. a covering memo to the Chief Executives from the host Trust outlining the merits of the project,
 - b. a copy of the application on the application form of the host Trust,
 - c. the applicant's annual accounts and taxation status, and
 - d. a pro-rata guideline based on the most recent comparative data of net assets of individual Trusts, unless otherwise agreed.
3. The host Trust will remain the point of contact and the financial controller throughout the project, unless otherwise agreed.
4. Trust Waikato has determined that where possible, New Zealand-wide applications will be considered at one of the grant rounds.
5. All Trusts are to advise the host Trust of their decision.
6. The host Trust should not be obligated to fully fund the shortfall, but would be expected to contribute their pro-rata amount as a minimum.
7. If there is a lack of collective support, the host Trust is able to decline the application.
8. Once all Trusts have reported their decision, the host Trust will invoice each supporting Trust for the amount approved, payable to the host Trust.
9. A mandatory audit of the grant is the responsibility of the host Trust and should be advised to the participating Trusts once completed.

Appendix D **Guidelines for preserving art and taonga of significance to the region**

1. The Trust wishes to contribute to the preservation of art and taonga significant to the Trust's region.
2. Granting towards future artwork purchases for the Trust Waikato Art and Tonga Collection will contribute to the Trust's priority to facilitate preserving art and taonga special to the region. In particular, the Trust acknowledges that:
 - a. art and taonga are important symbols of who we are and where we have come from. They help us define our regional and ethnic identities,
 - b. the region's art and taonga signify that this area is rich in cultural and artistic heritage,
 - c. granting towards the purchase of significant historical art and taonga ensures it stays in, or is returned to, the region.
3. The Trust recognises that there are other ways of preserving our heritage and it is open to such opportunities.