

ATTACHMENTS DISTRIBUTED UNDER SEPARATE COVER

**CCL 27/04/2021 – ADOPTION OF THE COMMUNITY GRANTS AND
SPONSORSHIP POLICY**

PAGE 3	ITEM-34	Attachment A:	Community Grants Policy
PAGE 21	ITEM-34	Attachment B:	Sponsorship Policy
PAGE 38	ITEM-34	Attachment C:	Engagement Report
PAGE 50	ITEM-34	Attachment D:	Community Grants Programs - Guidelines
PAGE 74	ITEM-34	Attachment E:	Sponsorship Programs - Guidelines

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SPONSORSHIP POLICY**

ITEM-34 **Attachment A:** Community Grants Policy

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Community Grants Policy

DRAFT

November 2020

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City of
Newcastle

Policy

Community Grants Policy

City of Newcastle

April 2021

Table of Contents

Part A	Preliminary	1
1	Purpose	1
2	Scope.....	1
3	Principles	1
Part B	Roles and Responsibilities.....	3
4	Director	3
5	Service Unit Manager.....	3
6	Assessment Panel	3
7	Grant Recipients	3
Part C	Eligibility and Public Information.....	4
8	Eligibility criteria	4
9	Assessment of Grant applications	5
10	Public Information	6
Part D	Funding Agreements	7
11	Funding Agreements.....	7
Annexure A	Definitions	8
Annexure B	Policy Authorisations	10
Document Control		11

Part A Preliminary

1 Purpose

- 1.1 This Policy provides a framework for the management of City of Newcastle's (CN) **Community Grant Programs** (CGP) in accordance with section 356 and section 377 of the *Local Government Act 1993* (NSW).
- 1.2 This Policy supports the delivery of community driven outcomes and benefits aligned with the **Community Strategic Plan** (CSP); including the seeding, supporting, and growing of Activities with outcomes for both the participants and the wider community.
- 1.3 This Policy is to be read in conjunction with the supporting Guidelines for each of CN's CGPs.
- 1.4 This Policy and associated Guidelines determine the types of organisations or industries that CN considers appropriate to partner with through Grant Funding.
- 1.5 This Policy and associated Guidelines ensure that decision-making regarding the provision of CGPs comply with relevant legislation and enable an equitable, open, and transparent process.

2 Scope

- 2.1 This Policy applies to all outgoing CGPs to enhance community, social, cultural, sporting, recreational, heritage, economic and environmental outcomes. This Policy applies to all aspects of CN's CGPs including application processes, decision making, Funding Agreements and Activity Acquittals.
- 2.2 This Policy also applies to all ad-hoc Grant funding not connected to a specific CGP.
- 2.3 This Policy covers all elected members of Council, CN employees, any person, or organisation contracted to or acting on behalf of CN, any person or organisation employed to work on CN premises or facilities, and all activities of CN.
- 2.4 This Policy does not apply to:
 - 2.4.1 CN Sponsorship Program(s)
 - 2.4.2 Grants received by CN
 - 2.4.3 Donations provided by CN
 - 2.4.4 CN Special Business Rate Funding.

3 Principles

- 3.1 CN commits itself to the following:
 - 3.1.1 **Alignment with the CSP** - This Policy and associated Guidelines supports delivery of the CSP and Four-Year Delivery Program.
 - 3.1.2 **Value with public money and outcomes orientation** - This Policy supports applications whose outcomes meet community needs and offer a mix of funding sources to help maximise the impact of funding from CN. Value for money and acceptable financial risk for CN, using public funds, is considered as part of CN's Assessment Criteria.
 - 3.1.3 **Accountability and transparency** - This Policy provides a robust governance framework for the transparent and merit-based provision of support with clearly defined roles and responsibilities for both CN and Grant recipients.

- 3.1.4 **Inclusiveness** - CN invites and values applications from organisations representing people of diverse abilities, genders, ethnicity, cultures, and ages.
- 3.1.5 **Collaboration** - CN values the relationships Grant recipients develop with CN, other Grant recipients and the community. Collaboration enhances positive community outcomes through the delivery of initiatives funded by CN.
- 3.1.6 **Values** - CN is committed to the United Nations Sustainable Development Goals (SDG); embedding local action as part of global recognition of community needs, social justice, reduced inequalities, and ecological sustainability.

Part B Roles and Responsibilities

4 Director

- 4.1 The Director, at their discretion, will determine the amount of CGP monies to be made available for expenditure each year in accordance with this Policy and CN's annual adopted budget.
- 4.2 The Director will review and publish annually the supporting Guidelines for each CGP. Guidelines, Application and Acquittal processes will be commensurate with the scale, complexity, and risk levels of the Activity.
- 4.3 This Policy authorises the Director to approve grants on behalf of the elected Council (under section 377 of the *Local Government Act 1993* (NSW)).
- 4.4 The Director may determine to allocate a portion of the total funding available each financial year (along with any unexpended or returned funds) for ad hoc applications outside the competitive round(s) detailed in the CGP Guidelines. If such funding is allocated, it will be advised on CN's website annually.

5 Service Unit Manager

- 5.1 The Service Unit Manager is responsible for determining and approving weightings for the Assessment Criteria of CGPs.
- 5.2 The Service Unit Manager is responsible for approving the following:
 - 5.2.1 Funding Period Variations: changes to the Funding Period due to a delayed start date, a delay during the grant, a change to the end date, and/or changes to the project team.
 - 5.2.2 Activity Variations: changes to the Activity scope including budget allocations, redirection of funds and outputs.
 - 5.2.3 Funding Value Variations: an increase in funding of up to 20% may be approved in exceptional circumstances by the Service Unit Manager.
 - 5.2.4 Acquittals in line with the Funding Agreement.

6 Assessment Panel

- 6.1 Assess applications and determine funding allocation.
- 6.2 Funding Value Variations: an increase in funding of up to 20% may be approved in exceptional circumstances by the Assessment Panel.

7 Grant Recipients

- 7.1 Grant Recipients are required to comply with this Policy and associated CGP Guidelines, as well as any conditions of a Funding Agreement.
- 7.2 Successful recipients are required to submit an Acquittal for all Grant funding received.
- 7.3 CN will provide Grants as cash and/or value-in-kind. Any CN goods or services provided should be costed by the Recipient at the appropriate Not-For-Profit Organisation or commercial rate as per the published fees and charges and included in the recipient's Activity budget.
- 7.4 A monetary figure will be allocated to all value-in-kind awarded in accordance with its real cost to CN and included in the total amount of funding allocated to any successful recipient.
- 7.5 The Recipient is required to publicly acknowledge CN for all Activities funded by CN as per conditions of a Funding Agreement.

Part C Eligibility and Public Information

8 Eligibility criteria

- 8.1 Eligibility of certain entities may differ across programs. **Please note that there is no guarantee of funding even if all eligibility criteria are met.** CN may accept Grant applications from the following entities:
- 8.1.1 Company Limited by Guarantee, Cooperative, Incorporated Association, Indigenous Corporation, Not-for-profit organisation, Partnership, Social Enterprise, Proprietary Limited Company and Individuals.
 - 8.1.2 Applications from individuals may be required to be Auspiced by, or partnered with, a registered organisation or CN may specify that individuals can apply for a specific program. Applications from registered charities and incorporated associations will be reviewed with regard to governance and accountability status under relevant legislation.
- 8.2 Applicants seeking CGP funding must comply with the following essential Eligibility Criteria, in addition to any program specific criteria as detailed in the Guidelines:
- 8.2.1 Applicants must operate within the Newcastle Local Government Area and/or be able to demonstrate that the Activity will directly benefit residents of Newcastle;
 - 8.2.2 Applications must be received on or before the advertised due date and completed with the required level of detail and supporting documentation as specified in the Guidelines;
 - 8.2.3 An Applicant's Activity must begin after the Grant funding commencement date. Funding for retrospective, recurrent or ongoing funding will not be considered;
 - 8.2.4 The Activity must be consistent with the CSP and SDGs;
 - 8.2.5 Applicants must have the appropriate level of insurance for the activities that are the subject of the funding request;
 - 8.2.6 Applicants must be capable of obtaining all regulatory approvals for the Activity.
 - 8.2.7 Where an Activity will involve adults working with children, successful applicants must undertake the necessary 'Working with Children' checks. The applicant must provide CN with a letter advising of the successful completion and clearance of these checks prior to commencement of Activity. The letter must be signed by an office bearer of the organisation receiving the Grant.
- 8.3 Activities that are not eligible for Grant funding:
- 8.3.1 Activities that duplicate existing services or have a current Funding Agreement for the same Activity. This applies to all funding from CN including Grants, Sponsorships and Special Business Rate funding;
 - 8.3.2 Religious ceremonies and/or activities in which the promotion of a single faith is the main purpose, or religious activities that could be perceived as divisive in the community;
 - 8.3.3 Profit making Activities where profits are allocated to shareholders, owners and/or members;
 - 8.3.4 Activities that vilify or discriminate a person or persons in respect of race, religion or sexual orientation or use live animals as part of a performance;
 - 8.3.5 Applications seeking funds for prize money, gifts or awards or general fundraising appeals including those seeking funding for representative sport or cultural activities;

- 8.3.6 Fees and charges associated with compliance or development applications payable to CN.
- 8.4 CN will consider applications from reputable organisations whose public image, products and services are consistent with the values, goals, and policies of CN.
- 8.5 The following companies, partnerships, sole traders, organisations or individuals are not considered by CN as suitable for Funding Agreements:
 - 8.5.1 Involved in any Socially Harmful Activity and/or manufacture, distribution and wholesaling of an Addictive Drug;
 - 8.5.2 Found guilty of illegal or improper conduct by the Independent Commission Against Corruption (ICAC) or any similar authority;
 - 8.5.3 Subject of a criminal conviction imposed by a Court of New South Wales or other jurisdiction in Australia, including for any offence under the Crimes Act 1900, Crimes Act 1914 and the Criminal Code Act 1995;
 - 8.5.4 Involved in political fields or affiliations, e.g. political parties;
 - 8.5.5 Other local, state or federal government departments and agencies;
 - 8.5.6 Involved in a competitive tender or purchasing process for the same Activity, at, or around the time of applying for a Grant or other funding agreement;
 - 8.5.7 Record of unsatisfactory acquittal of prior grant or sponsorship with CN; and
 - 8.5.8 Record of outstanding debt with CN.
- 8.6 CN employees or Councillors are not eligible to directly apply for funding. If a CN employee or Councillor is a party to an application submission, this must be declared, and the employee or Councillor is unable to take part in the assessment of the CGP.

9 Assessment of Grant applications

- 9.1 Activities that satisfy the Eligibility Criteria set out in Section 7 and the associated CGP Guidelines will be evaluated against Assessment Criteria published by CN in Guidelines each year. Assessment Criteria will include consideration of:
 - 9.1.1 Alignment of the proposed Activity to the CSP;
 - 9.1.2 Capacity and experience of an applicant to complete the Activity;
 - 9.1.3 Extent to which the budget is comprehensive, realistic and provides value for money.
- 9.2 An Assessment Panel will be established for each CGP. Membership of assessment panels will be appropriate to the objectives and scale of the CGP, and can consist of CN employees, Councillors, and external appointments with expertise in a related field.
- 9.3 CN employees and members of the Assessment Panel involved in the assessment and approval of applications under this Section, must comply with CN's Codes of Conduct and declare any potential Pecuniary or Non-Pecuniary conflicts of interest.
- 9.4 Assessment panels will, at a minimum, comprise the following:
 - 9.4.1 One (1) CN Employee with subject matter expertise;
 - 9.4.2 One (1) CN Service Unit Manager (or delegate);
 - 9.4.3 One (1) CN Director (or delegate);
 - 9.4.4 Lord Mayor (or delegate).

- 9.5 Applications for ad hoc funding not connected to a specific CGP will be assessed as per the Eligibility and Assessment Criteria in this Policy, the associated Guidelines, **assessed by the Assessment Panel from the most relevant program**, and be approved by the Director.

10 Public Information

- 10.1 CN will provide information to potential applicants on the CN website. This will include associated Guidelines.
- 10.2 CN may host public information session(s) to provide information to prospective applicants about the program.
- 10.3 CN will publish each Activity funded via CGPs on its website.

Part D Funding Agreements

11 Funding Agreements

- 11.1 All successful applicants will be required to enter into a Funding Agreement before funds are released and the Activity commences. The Funding Agreement will include:
- 11.1.1 All terms related to the Funding Agreement and the provision of the Grant;
 - 11.1.2 All terms related to the payment schedule;
 - 11.1.3 All terms related to the Activity and financial Acquittal.
- 11.2 Single year and multi-year commitments may be approved under this Policy. **Multi-year funding agreements may be approved for a maximum of three consecutive years. In order for CN to continue to support, develop and create a dynamic a range of opportunities in the community into the future.**
- 11.3 Funding Agreements will be available for between one (1) and three (3) consecutive financial years, subject to the requirements of the specific CGP, annual deliverables and an acquittal and approval process tied to the annual payments. This is also subject to CN's annual budget processes.

Annexure A Definitions

Addictive Drug means any substance listed in the Therapeutic Goods Administration Poisons Standard or listed as a prohibited drug at Schedule 1 of the Drug Misuse and Trafficking Act 1985.

Acquittal is a report submitted as per a Funding Agreement at the conclusion of a project detailing how the recipient administered the Grant funds and met the Activity outcomes in the Funding Agreement.

Activity is a one-off or time-limited task/undertaking or series of linked tasks/undertakings with specific goals and conditions, defined responsibilities, a budget, planning, information about the parties involved and a specific start date and end date. An Activity can also be referred to as a **Project**.

Assessment Criteria means the method used to evaluate an application.

Assessment Panel means the panel assessing applications and determining Grant Funding.

Auspice is an incorporated organisation that receives, administers, and acquits Grants on behalf of an applicant.

City of Newcastle (CN) means Newcastle City Council.

CN employees means persons employed by the City of Newcastle accountable to CN's policies and procedures.

Community Strategic Plan (CSP) is the highest level of strategic planning undertaken by CN. It identifies the main priorities and aspirations of the community and provides a clear set of strategic directions to achieve the community's vision.

Company is defined by the Corporations Act 2001 (Cth) and registered with the Australian Securities and Investment Commission (ASIC). Companies must be registered in Australia to be eligible to apply.

Company Limited by Guarantee is a company with liability limited to the guarantees of its members. This is a common structure used by the not-for-profit sector.

Cooperative is an organisation owned, controlled by, and used for the purpose of benefitting its members.

A non-distributing cooperative is one that uses surplus funds to support its activities and cannot distribute to members (not-for-profit).

A distributing cooperative may distribute any surplus funds to its members.

Council means the elected Council.

Eligibility is the state of being eligible to apply for funding through satisfaction of appropriate criteria.

Funding Agreement is the agreement entered into between CN and a successful applicant for an Activity. It will articulate any financial or in-kind support provided by CN for the Activity. A Funding Agreement will detail Acquittal responsibilities and any specific conditions.

Grant is the financial support provided to applicants for a Activity. A Grant seeks a nominal return on investment from the benefits provided the community. Benefits may include improvement in the quality of life for the community from Activities meeting identified needs.

Guidelines means the specific CGPs conditions and Criteria for each separate Grant to be read in conjunction with this Policy.

Incorporated Association is an association that has been incorporated in accordance with the requirements of the Associations Incorporation Act 2009.

Indigenous Corporation is established under the Corporations (Aboriginal and Torres Strait Islander) Act 2006.

Not-for-Profit Organisation is an organisation that does not directly operate for the profit or gain of a owner(s), member(s), or shareholder(s), either directly or indirectly. The organisation must be registered with the Australian Securities & Investment Commission (ASIC) or The Australian Charities and Not for Profit Commission (ACNC).

Partnership is a contractual relationship between parties carrying on business with a view to profit. Partnerships can be 'normal' (unregistered), limited or incorporated and limited (both registered on the Register of Limited Partnerships and Incorporated Limited Partnerships, administered by NSW Fair Trading).

Payment Schedule is the agreed timing of payments from CN to recipients.

Policy is a statement of intent and a deliberate system of principles to guide decisions and achieve rational outcomes.

Project see Activity.

Proprietary Limited Company (abbreviated as 'Pty Ltd') is a business structure with at least one shareholder and no more than 50 non-employee shareholders, with shareholder liability limited to the value of shares.

Registered Charity means a Charity registered with the Australian Charities and Not-for-profits Commission.

Social Enterprise is a business with a clear and stated social, environmental, or cultural mission articulated in an adopted constitution. Social Enterprises are usually driven by a public or community cause, derive income from trade (not donations or Sponsorships) and use profits to work towards the social mission defined by a constitution.

Socially Harmful Activity includes any activity involving the abuse of human rights or labour rights, bribery, corruption, production or supply of armaments, manufacture, distribution and wholesaling of alcohol, tobacco or nicotine related products, gambling products or services, pornography, the trade of fur or other illegal wildlife trade, abuse of animal welfare, live animal entertainment and any other activity which CN reasonably considers may pose a socially harmful activity.

Special Business Rate are funds collected from declared city precinct businesses within Newcastle LGA for the promotion, beautification, and development of the precincts, and awarded through a competitive application process.

Sponsorships are commercial agreements in exchange for a benefit(s). Sponsorship is not philanthropic with the sponsor expecting a benefit (return on investment) as agreed in a sponsorship agreement.

Value-in-kind refers to goods or services provided by supporters of a project that has a real value for the project and/or supporter and/or community.

Unless stated otherwise, a reference to a section or clause is a reference to a section or clause of this Policy.

Annexure B Policy Authorisations

Function	Position Number / Title
Determine and approve weightings for Assessment Criteria	Service Unit Manager (or delegate)
Approve Activity variations	Service Unit Manager (or delegate)
Execute Funding Agreements to approved Grants consistent with the Assessment Panel's recommendation and in accordance with this Policy	Service Unit Manager (or delegate)
Acquittals in line with Funding Agreements	Service Unit Manager (or delegate)
Review and approval of Grant Guidelines (annually)	Director (or delegate)
Approve grants on behalf of the elected Council (under s377 of the <i>Local Government Act 1993</i> (NSW)).	Director (or delegate)
Assess and approve ad-hoc applications	Director (or delegate)
Assess applications and determine funding allocation	Assessment Panel
Approve Funding Value variations	Assessment Panel

Document Control

Policy title	Community Grants Policy
Policy owner	Manager Community, Strategy & Innovation
Policy expert/writer	Grants and Sponsorship Officer
Associated Procedure Title (if applicable)	Community Grant Programs (CGP) - Guidelines
Procedure owner (if applicable)	Manager Community, Strategy & Innovation
Prepared by	Community Strategy and Innovation
Approved by	Council
Date approved	To be completed by Legal
Policy approval form reference	ECM# 6665440
Commencement Date	To be completed by Legal
Next revision date (date Policy will be revised)	To be completed by Legal
Termination date	To be completed by Legal (one-year post revision date)
Version	Version number 1
Category	Administration
Keywords	Grants, financial assistance, facilities, sport, recreation, community, arts, cultural, placemaking, youth
Details of previous versions	Recreation Facilities Grant Program Policy – ECM: 5630916 Youth Week Grant Policy – ECM: 6204502 Community Place Making Grant Policy – ECM: 6297665 Council Support for Arts and Cultural Organisations in Newcastle – ECM: 6016939
Legislative amendments	Nil
Relevant strategic direction	Vibrant and Activated Public Places
Relevant strategy	List any related CN strategy
Relevant legislation/codes (reference specific sections)	Local Government Act 1993 (NSW) (s356, s377)

Other related policies/ documents/ strategies	Community Grant Programs (CGP) - Guidelines
Related forms	Nil
Required on website	Yes
Authorisations	Functions authorised under this Policy at Annexure B

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ITEM-34 **Attachment B:** Sponsorship Policy

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Sponsorship Policy

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December 2020

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City of
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Policy

Sponsorship Policy (Outwards)

Table of Contents

Part A	Preliminary	1
1	Purpose	1
2	Scope	1
3	Principles	1
Part B	Roles and Responsibilities	2
4	Director	2
5	Service Unit Manager	2
6	Assessment Panel	2
7	Sponsorship Recipients	3
Part C	Eligibility and Public Information	4
8	Eligibility criteria	4
9	Assessment of Sponsorship applications	5
10	Public Information	5
Part D	Sponsorship Agreements	6
11	Sponsorship Agreements	6
Annexure A	Definitions	7
Annexure B	Policy Authorisations	9
Document Control	10

Part A Preliminary

1 Purpose

- 1.1 This Policy provides a framework for the management of City of Newcastle's (CN) **Sponsorship Programs (SP)** in a manner that is in accordance with section 356 and section 377 of the *Local Government Act 1993* (NSW).
- 1.2 This Policy supports the delivery of tangible value of benefits aligned with the **Community Strategic Plan (CSP)**. This includes, but is not limited to, demonstrated visitation, economic stimulus and activity, promotion, marketing and speaking opportunities.
- 1.3 The Policy is to be read in conjunction with the supporting Guidelines for each of CN's SPs.
- 1.4 This Policy and associated Guidelines determine the types of organisations, industries and/or individuals that CN considers appropriate to partner with, through Sponsorship agreements.
- 1.5 This Policy and associated Guidelines ensure that decision-making regarding the provision of SPs comply with relevant legislation and enable an equitable, open, and transparent process.

2 Scope

- 2.1 This Policy applies to all outgoing SPs and applies to all aspects of CN SPs including application processes, decision making, Sponsorship Agreements and Activity Acquittal.
- 2.2 The Policy applies to eligible organisations and individuals seeking sponsorship from CN in alignment with the strategic objectives as stated in CSP.
- 2.3 This Policy **also** applies to Major Event Development Program. This is a closed program and only organisations that are invited to apply can seek funds. In identifying potential applicants for this program CN considers economic benefit and CSP priorities.
- 2.4 This Policy covers all elected members of Council, all employees of CN, any person or organisation contracted to or acting on behalf of CN, any person or organisation employed to work on CN premises or facilities and all activities of CN.
- 2.5 This Policy does not apply to:
 - 2.5.1 CN Community Grants Program
 - 2.5.2 Sponsorships received by CN
 - 2.5.3 Donations provided by CN
 - 2.5.4 CN Special Business Rate Funding.

3 Principles

- 3.1 CN commits itself to the following:
 - 3.1.1 **Alignment with the CSP** - This Policy and associated Guidelines supports delivery of the CSP and the Four-Year Delivery Program.
 - 3.1.2 **Value with public money and outcomes orientation** - This Policy supports applications whose outcomes meet community needs and offer a mix of Sponsorship sources to help maximise the impact of Sponsorship from CN. Value for money and acceptable financial risk for CN, using public funds, is considered as part of CN's Assessment Criteria.
 - 3.1.3 **Accountability and transparency** - The Policy provides a robust governance framework for the transparent and merit-based provision of support with

clearly defined roles and responsibilities for both CN and Sponsorship recipients.

- 3.1.4 **Inclusiveness** - CN invites and values applications from organisations representing people of diverse abilities, genders, ethnicity, cultures, and ages.
- 3.1.5 **Collaboration** - CN values the relationships Sponsorship recipients develop with CN, other Sponsorship recipients and the community. Collaboration enhances positive community outcomes through the delivery of initiatives funded by CN.
- 3.1.6 **Values** - CN is committed to the United Nations Sustainable Development Goals (SDG); embedding local action as part of global recognition of community needs, social justice, reduced inequalities, and ecological sustainability.

Part B Roles and Responsibilities

4 Director

- 4.1 The Director, at their discretion, will determine the amount of SP monies to be made available for expenditure each year in accordance with this Policy and CN's annual adopted budget.
- 4.2 The Director will review and publish annually the supporting Guidelines for each SP. Guidelines, Application and Acquittal processes will be commensurate with the scale, complexity, and risk levels of the Activity.
- 4.3 This Policy authorises the Director to approve sponsorships on behalf of the elected Council (under section 377 of the *Local Government Act 1993 (NSW)*).
- 4.4 The Director may determine to allocate a portion of the total funding available each financial year (along with any unexpended or returned funds) for ad hoc applications outside the competitive round(s) detailed in the SP Guidelines. If such funding is allocated it will be advised on CN's website annually.

5 Service Unit Manager

- 5.1 The Service Unit Manager is responsible for determining and approving weightings for the Assessment Criteria of SPs.
- 5.2 The Service Unit Manager is responsible for approving the following:
 - 5.2.1 Funding Period Variations: changes to the Funding Period due to a delayed start date, a delay during the sponsorship period, a change to the end date, and/or changes to the project team.
 - 5.2.2 Activity Variations: changes to the Activity scope including budget allocations, redirection of funds and outputs.
 - 5.2.3 Funding Value Variations: an increase in funding of up to 20% may be approved in exceptional circumstances by the Service Unit Manager or Director.
 - 5.2.4 Acquittals in line with the Funding Agreement.

6 Assessment Panel

- 6.1 Assess applications and determine funding allocation.
- 6.2 Funding Value Variations: an increase in funding of up to 20% may be approved in exceptional circumstances by the Assessment Panel.

7 Sponsorship Recipients

- 7.1 Sponsorship Recipients are required to comply with this Policy and the relevant SP Guidelines, as well any conditions of a Sponsorship Agreement.
- 7.2 Successful recipients will be required to submit an Acquittal for all Sponsorship received.
- 7.3 CN will provide Sponsorships as cash only. Value in-kind will not be provided. Any CN goods or services should be costed by the Sponsorship Recipient at the appropriate Not-For-Profit Organisation or commercial rate as per the published fees and charges and included in the application's Activity budget.
- 7.4 The Sponsorship Recipient is required to publicly acknowledge CN for all Activities funded by CN as per conditions of their Sponsorship Agreement.
- 7.5 The Sponsorship Recipient is required to meet all licencing requirements within allocated timeframes. This includes licencing approval for events on community land.

Part C Eligibility and Public Information

8 Eligibility criteria

- 8.1 Eligibility of certain entities may differ across programs. **Please note that there is no guarantee of funding even if all eligibility criteria are met.** CN may accept Sponsorship applications from the following entities:
- 8.1.1 Company Limited by Guarantee, Cooperative, Incorporated Association, Indigenous Corporation, Not-for-profit organisation, Partnership, Social Enterprise, Proprietary Limited Company and Individuals.
- 8.2 Applicants seeking Sponsorship must comply with the essential Eligibility Criteria listed below in addition to the program specific criteria as detailed in the SP Guidelines:
- 8.2.1 Applicants must demonstrate that the Activity will directly benefit CN and/or residents/businesses of Newcastle;
 - 8.2.2 Applications must be received on or before the advertised due date and completed with the required level of detail and supporting documentation as specified in the Guidelines;
 - 8.2.3 An Applicant's Activity must begin after the Sponsorship commencement date. Support for retrospective Sponsorship will not be considered;
 - 8.2.4 The Activity must be consistent with the CSP and SDGs.
- 8.3 Activities that are not eligible for Sponsorship:
- 8.3.1 Activities that duplicate existing services or have a current Sponsorship Agreement for the same Activity. This applies to all support from CN including Grants, Sponsorships and Special Business Rate Funding;
 - 8.3.2 Religious ceremonies and/or activities in which the promotion of a single faith is the main purpose; or religious activities that could be perceived as divisive in the community;
 - 8.3.3 General fundraising appeals and charitable donations, including support for individual representative sporting endeavours;
 - 8.3.4 Academic research, coursework or fees, or projects seeking financial support for research, studio work or activities that will be submitted for academic assessment;
 - 8.3.5 Ongoing operational costs, including rent or lease costs, general administrative costs or staffing or salary costs;
 - 8.3.6 Activities that vilify or discriminate a person or persons in respect of race, religion or sexual orientation or use live animals as part of a performance.
- 8.4 CN will consider applications from reputable organisations whose public image, products and services are consistent with the values, goals, and policies of CN.
- 8.5 The following companies, partnerships, sole traders, organisations or individuals are not considered by CN as suitable for Sponsorship Agreements:
- 8.5.1 Involved in any Socially Harmful Activity and/or manufacture, distribution and wholesaling of an Addictive Drug;
 - 8.5.2 Found guilty of illegal or improper conduct by the Independent Commission Against Corruption (ICAC) or any similar authority;
 - 8.5.3 Subject of a criminal conviction imposed by a Court of New South Wales or other jurisdiction in Australia, including for any offence under the Crimes Act 1900, Crimes Act 1914 and the Criminal Code Act 1995;
 - 8.5.4 Involved in political fields or affiliations, e.g. political parties;

- 8.5.5 Other local, state or federal government departments and agencies;
 - 8.5.6 Involved in a competitive tender or purchasing process for the same Activity, at, or around the time of negotiating a Grant or other Sponsorship agreement;
 - 8.5.7 Record of unsatisfactory acquittal of prior grant or sponsorship with CN; and
 - 8.5.8 Record of outstanding debt with CN.
- 8.6 CN employees or Councillors are not eligible to directly apply for Sponsorship. If a CN employee or Councillor is a party to an application submission this must be declared, and the employee or Councillor is unable to take part in the assessment of the SP.

9 Assessment of Sponsorship applications

- 9.1 Activities that satisfy the Eligibility Criteria set out in Section 7 and the associated Sponsorship Guidelines will be evaluated against Assessment Criteria published by CN in Guidelines each year. Assessment Criteria will include consideration of:
- 9.1.1 Alignment of the proposed Activity to the CSP;
 - 9.1.2 Capacity and experience of an applicant to complete the Activity;
 - 9.1.3 Extent to which the budget is comprehensive, realistic and provides value for money.
- 9.2 An assessment panel will be established for each SP. Membership of assessment panels will be appropriate to the objectives and scale of the SP and can consist of CN employees, Councillors and external appointments with expertise in a related field.
- 9.3 CN employees and members of the Assessment Panel involved in the assessment and approval of applications under this Section must comply with CN's Codes of Conduct and declare any potential Pecuniary or Non-Pecuniary conflict of interest.
- 9.4 Assessment panels will, at a minimum, comprise three members and must include the following:
- 9.4.1 One (1) CN Service Unit Manager (or delegate)
 - 9.4.2 One (1) CN Director (or delegate).
- 9.5 Applications for ad hoc funding not connected to a specific SP will be assessed as per the Eligibility and Assessment Criteria in this Policy and the associated Guidelines SP Guidelines and be approved by the Director.

10 Public Information

- 10.1 CN will provide information to potential applicants on the CN website. This will include associated Guidelines.
- 10.2 CN may host public information session(s) to provide information to prospective applicants about the program.
- 10.3 CN will publish each Activity funded via SPs on its website.

Part D Sponsorship Agreements

11 Sponsorship Agreements

- 11.1 All successful applicants will be required to enter into a Sponsorship Agreement before funds are released and the Activity commences. The Sponsorship Agreement will include:
 - 11.1.1 All terms related to the Sponsorship Agreement and the provision of the funds;
 - 11.1.2 All terms related to the payment schedule;
 - 11.1.3 All terms related to the Activity and financial Acquittal.
- 11.2 Single year and multi-year commitments may be approved under this Policy.
- 11.3 Sponsorship Agreements will be available for between one (1) and three (3) consecutive financial years, subject to the requirements of the specific SP, annual deliverables and an acquittal and approval process tied to the annual payments. This is also subject to CN's budget processes.

Annexure A Definitions

Addictive Drug means any substance listed in the Therapeutic Goods Administration Poisons Standard or listed as a prohibited drug at Schedule 1 of the Drug Misuse and Trafficking Act 1985.

Acquittal is a report submitted as per a Funding Agreement at the conclusion of a project detailing how the recipient administered the Grant funds and met the Activity outcomes in the Funding Agreement.

Activity is a one-off or time-limited task/undertaking or series of linked tasks/undertakings with specific goals and conditions, defined responsibilities, a budget, planning, information about the parties involved and a specific start date and end date. An Activity can also be referred to as a **Project**.

Assessment Criteria means the method used to evaluate an application.

Assessment Panel means the panel assessing applications and determining Grant Funding.

Auspice is an incorporated organisation that receives, administers, and acquits Grants on behalf of an applicant.

City of Newcastle (CN) means Newcastle City Council.

CN employees – means persons employed by the City of Newcastle accountable to CN's policies and procedures.

Community Strategic Plan (CSP) is the highest level of strategic planning undertaken by CN. It identifies the main priorities and aspirations of the community and provides a clear set of strategic directions to achieve the community's vision.

Company is defined by the Corporations Act 2001 (Cth) and registered with the Australian Securities and Investment Commission (ASIC). Companies must be registered in Australia to be eligible to apply.

Company Limited by Guarantee is a company with liability limited to the guarantees of its members. This is a common structure used by the not-for-profit sector.

Cooperative is an organisation owned, controlled by, and used for the purpose of benefitting its members.

A non-distributing cooperative is one that uses surplus funds to support its activities and cannot distribute to members (not-for-profit).

A distributing cooperative may distribute any surplus funds to its members.

Council means the elected Council.

Four-Year Delivery Program sets out CN's objectives for a four-year period at the commencement of a newly elected Council. The Delivery Program is CN's response to the CSP and a commitment to the community on what CN will do to meet the CSP.

Grant is the financial support provided to applicants for an Activity. A Grant seeks a nominal return on investment from the benefits provided the community. Benefits may include improvement in the quality of life for the community from Activities meeting identified needs.

Guidelines means the specific CGPs conditions and Criteria for each separate Grant to be read in conjunction with this Policy.

Incorporated Association is an association that has been incorporated in accordance with the requirements of the Associations Incorporation Act 2009.

Indigenous Corporation is established under the Corporations (Aboriginal and Torres Strait Islander) Act 2006.

Not-for-Profit Organisation is an organisation that does not directly operate for the profit or gain of a owner(s), member(s), or shareholder(s), either directly or indirectly. The

organisation must be registered with the Australian Securities & Investment Commission (ASIC) or The Australian Charities and Not for Profit Commission (ACNC).

Partnership is a contractual relationship between parties carrying on business with a view to profit. Partnerships can be 'normal' (unregistered), limited or incorporated and limited (both registered on the Register of Limited Partnerships and Incorporated Limited Partnerships, administered by NSW Fair Trading).

Payment Schedule is the agreed timing of payments from CN to recipients.

Project see Activity.

Proprietary Limited Company (abbreviated as 'Pty Ltd') is a business structure with at least one shareholder and no more than 50 non-employee shareholders, with shareholder liability limited to the value of shares.

Registered Charity registered with the Australian Charities and Not-for-profits Commission.

Social Enterprise is a business with a clear and stated social, environmental, or cultural mission articulated in a adopted constitution. Social Enterprises are usually driven by a public or community cause, derive income from trade (not donations or Sponsorships) and use profits to work towards the social mission defined by a constitution.

Socially Harmful Activity includes any activity involving the abuse of human rights or labour rights, bribery, corruption, production or supply of armaments, manufacture, distribution and wholesaling of alcohol, tobacco or nicotine related products, gambling products or services, pornography, the trade of fur or other illegal wildlife trade, abuse of animal welfare, live animal entertainment and any other activity which CN reasonably considers may pose a socially harmful activity.

Special Business Rate are funds collected from declared city precinct businesses within Newcastle LGA for the promotion, beautification, and development of the precincts, and awarded through a competitive application process.

Sponsorships are commercial agreements in exchange for a benefit(s). Sponsorship is not philanthropic with the sponsor expecting a benefit (return on investment) as agreed in a sponsorship agreement.

Sponsorship Agreement is the agreement entered into between CN and a successful applicant for an Activity. It will articulate any financial support provided by CN for the Activity. A Sponsorship Agreement will detail Acquittal responsibilities and any specific conditions.

Value-in-kind refers to goods or services provided by supporters of a project that has a real value for the project and/or supporter and/or community.

Unless stated otherwise, a reference to a section or clause is a reference to a section or clause of this Policy.

Annexure B Policy Authorisations

Function	Position Number / Title
Determine and approve weightings for Assessment Criteria	Service Unit Manager (or delegate)
Execute Sponsorship Agreements to allocated applicants consistent with the Assessment Panel's recommendation and in accordance with this Policy	Service Unit Manager (or delegate)
Acquittals in line with Funding Agreements	Service Unit Manager (or delegate)
Approve Activity variations	Service Unit Manager (or delegate)
Review and approval of Sponsorship Guidelines (annually)	Director (or delegate)
Approve sponsorships on behalf of the elected Council (under s377 of the <i>Local Government Act 1993</i> (NSW)).	Director (or delegate)
Assess and approve ad hoc applications	Director (or delegate)
Assess applications and determine funding allocation	Assessment Panel
Approve Funding Value variations.	Assessment Panel

Document Control

Policy title	Sponsorship Policy
Policy owner	Manager Community, Strategy & Innovation
Policy expert/writer	Grants and Sponsorship Officer
Associated Procedure Title (if applicable)	Sponsorship Programs (SP) - Guidelines
Procedure owner (if applicable)	Manager Community, Strategy & Innovation
Prepared by	Community Strategy and Innovation
Approved by	Choose an item.
Date approved	To be completed by Legal
Policy approval form reference	ECM# 6718999
Commencement Date	To be completed by Legal
Next revision date (date Policy will be revised)	To be completed by Legal
Termination date	To be completed by Legal (one-year post revision date)
Version	Version number 1
Category	Administration
Keywords	Sponsorship, financial assistance, event, tourism, development, community, economic development, business development, creative industries
Details of previous versions	Event Sponsorship Policy – ECM: 6297663 Economic Development Sponsorship Policy – ECM: 6297664
Legislative amendments	Nil
Relevant strategic direction	Smart and Innovative City
Relevant strategy	List any related CN strategy
Relevant legislation/codes (reference specific sections)	Local Government Act 1993 (NSW) (s356, s377, s610)

Other related policies/ documents/ strategies	Sponsorship Programs (SP) - Guidelines
Related forms	Nil
Required on website	Yes
Authorisations	Functions authorised under this Policy at Annexure B

newcastle.nsw.gov.au

ATTACHMENTS DISTRIBUTED UNDER SEPARATE COVER

**CCL 27/04/2021 – ADOPTION OF THE COMMUNITY GRANTS AND
SPONSORSHIP POLICY**

ITEM-34 **Attachment C:** Engagement Report

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Community Grants Policy and Sponsorship Policy
Public Exhibition Report
April 2021

Contents

1	Executive Summary.....	3
2	Background	3
3	Engagement and promotion.....	4
4	Submissions.....	5
5	Appendix 1.....	7

1 Executive Summary

City of Newcastle (CN) undertook a Grants and Sponsorship Review (“Review”) in 2019 to identify opportunities for better customer experience and community outcomes. The review, undertaken by independent consultants, included engagement with the community and key stakeholder groups.

A key recommendation to improve the customer experience was the rationalisation of administrative processes, including consolidation of the existing policies. The new Community Grants Policy and the Sponsorship Policy (‘Policies’) were developed against the Review’s recommended core principles: Transparent, Equitable, Effective, Efficient, Collaborative and promote Sustainable outcomes.

To improve community outcomes, the requirement that applicants must partner with CN venues has been removed; expanding opportunities for the community to collaborate, create new partnerships and deliver the most effective proposals.

The Policies provide additional benefits and opportunities to the community including:

- opportunity for multiple applications within a given financial year;
- simplified, streamlined application processes; and
- wider venue opportunities.

Overall, community feedback on the Policies was positive with minimal suggested changes reflecting the community-focused engagement period prior to the public exhibition period.

2 Background

The Review included internal workshops, stakeholder interviews, documentation review and research of contemporary practice. External consultation included community workshops, and targeted online community survey, with approximately 240 participants.

The key findings that emerged from stakeholder engagement was the need for clear, consolidated and easy to understand policy frameworks with a focus on long-term principles. Better defined funding categories and themes were identified as important to the community. These findings have led to more accessible funding streams with a focus on the outcomes based on the objectives of the Newcastle 2030 Community Strategic Plan.

Council at the 23 February 2021 Ordinary Meeting resolved to exhibit the Policies.

Public exhibition closed on 24 March 2021 with six external submissions received from five sources including four on the Community Grants Policy and two on the Sponsorship Policy. Two internal submissions were received from a single source (refer Table 1 below). As a result of the submissions, changes have been made to the Policies. Other measures will also be implemented to assist and inform applicants, including:

- workshops outlining funding opportunities and how to apply;
- Provision of FAQs;
- clearer process mapping and other information relevant to each funding stream.

The Policies provide the framework for CN's grant and sponsorship funding. The Guidelines will be developed, reviewed and published annually to detail available funding and its allocation across streams.

The Guidelines outline the assessment process. Each program requires different expertise and advice, therefore additional assessment panel members (such as subject matter experts) can be called upon as and when required.

Allocation of grant and sponsorship funding will continue to be determined through the annual budget process.

CN provides funding through other programs and projects including the Special Business Rate Program (approximately \$900,000 per annum).

3 Engagement and promotion

Engagement with the community formed part of the grants and sponsorship review process which was commenced in 2019 and included community workshops and an online targeted community survey with approximately 240 participants.

A communication plan was also activated throughout the public exhibition period to promote the opportunity for community members to provide feedback.

Key communication activities are summarised below:

- Dedicated Have Your Say page with online submission form – six submissions;
- Have Your Say email newsletter (one) distributed to (2,400+ subscribers) on 25 February 2021, 25 clicks on article;
- Showcase tile on CN's home webpage 24 February 2021 – 18 March 2021 – 40 visits, 250 page views;
- Media release distributed on 17 February 2021 (attached – Refer Appendix 1);
- Facebook Group Have Your Say posts (two) on 26 February 2021 and 22 March 2021;
- Staff NovoNews email newsletter (one) distributed to (900+ subscribers) on 24 February 2021 encouraging participation;
- Feature news item on staff intranet 26 February 2021;
- Campaign Monitor email subscriber distribution list - 11 March 2021 – 373 recipients (attached – Refer Appendix 1).

4 Submissions

SUBMISSION		CHANGE	CN COMMENT
External Submissions			
Grants Policy			
1	<ul style="list-style-type: none"> Positive feedback on new policies. The history of our maritime past needs more recognition. 	No Change	<ul style="list-style-type: none"> Noted
2	<ul style="list-style-type: none"> The distinction between grants and sponsorship is unclear. 	No Change	<ul style="list-style-type: none"> CN will be providing assistance to the community in the form of engagement workshops, FAQ, clear process maps and other resources to support applicants through this process and assist with decisions on the best path forward for funding.
3	<ul style="list-style-type: none"> Advise of the criteria weighting percentiles. Make the grants applications less onerous. Be more direct in the guidelines around spending the grant within a certain time frame. 	No Change	<ul style="list-style-type: none"> Relevant criteria weightings are defined within the Community Grant Guidelines. CN is working within the Smarty Grants system as part of the solution to make the application process less onerous, clearer and more streamlined. Timelines are defined in the funding agreements which the applicant agrees to when they sign the documentation. As per the Guidelines, variation requests can be submitted for evaluation.
4	<ul style="list-style-type: none"> Clear and concise. If your organisation is auspicing a grant/submission for another group's application, can you also apply for your own organisations grant? Is there scope to have qualified independent assessors on the assessment panels. 	No Change	<ul style="list-style-type: none"> Organisation can do both but the applications must be for different activity. These applications will be assessed as separate applications as per the Policy and Guidelines. Subject Matter Experts may be used for specific funding programs as and if required. Councillors are also utilised on assessment panels as representatives of the community.
Sponsorship Policy			
5	<ul style="list-style-type: none"> Positive feedback on new policies. Projects, such as William IV provide an important insight to our maritime past & need more support. 	No Change	<ul style="list-style-type: none"> Noted
6	<ul style="list-style-type: none"> 2.3 could be read to exclude (unintentionally?) projects other than those deemed major events by council. 	Change	<ul style="list-style-type: none"> The word 'also' has been added to 2.3 in the Sponsorship Policy.

SUBMISSION	CHANGE	CN COMMENT
Internal Submission		
Grant Policy		
1	<ul style="list-style-type: none"> • Funding variations approval review for better governance and accuracy. • Assessment of Ad hoc funding – refence to guidelines • Clarification of limit to number of years of funding agreements • Add eligibility information noting that there is no guarantee of funding even if all eligibility criteria are met. 	<ul style="list-style-type: none"> • Funding Variation by Assessment Panel (6.2) • Assessment updated for better governance (9.5) • Multi-year funding agreements limited to three (3) years maximum (11.2) • Reference added at 8.1.
Sponsorship Policy		
2	<ul style="list-style-type: none"> • Funding variations approval review for better governance and accuracy. • Sponsorship Policy Assessment Panel should reflect the Guidelines Panel • Clarification of limit to number of years of funding agreements • Add eligibility information noting that there is no guarantee of funding even if all eligibility criteria are met • Eligibility requirements for general events income – remove the reference to free/token entry 	<ul style="list-style-type: none"> • Funding Variation by Assessment Panel (6.2) • Policy outlines Assessment Panel membership ‘at a minimum’. Additional panel members are defined further in the Guidelines as required including Subject Matter Experts. • Activity approvals are defined under funding agreement conditions. • Reference added at 8.1 • This promotes alignment with CN strategic objectives rather than events that have commercial outcomes.

Media Release

17 February 2021

City launches first one-stop-shop for grant funding

City of Newcastle is making it easier for the community to access more than 1,000 grant funding opportunities through a new online service, Newcastle Grant Finder.

Newcastle Grant Finder provides a comprehensive listing of funding opportunities available to local businesses, community groups, sporting clubs, not-for-profits and individuals.

Newcastle Grant Finder identifies funding opportunities in the area from State and Federal governments and agencies, not just those provided by the City of Newcastle, presenting a one-stop-search tool with self-service functionality for users to track, bundle, save and create alerts.

Councillor Peta Winney-Baartz said Newcastle Grant Finder is a first-of-its-kind in Newcastle and will see more funding flow to worthy causes as part of City of Newcastle’s digital transformation to make its services more efficient and effective for the community.

“Until now, members of our community have experienced frustrations identifying grant funding, finding it an arduous task having to conduct searches across numerous websites, often resulting in missed opportunities,” Cr Winney-Baartz said.

“This is a fantastic free user-friendly service for our community to utilise and City of Newcastle is delighted to offer a solution to make sure that those seeking funding can quickly and easily find what they need.

“To give every applicant the best possible chance of success, Newcastle Grant Finder includes grant writing tips as well as a directory of external professional writers that can be contacted to help prepare applications.

“Our goal is to help local businesses and community groups to access grant funding opportunities that will, in turn, support economic growth and community wellbeing.”

BaptistCare’s HopeStreet group manager Phil Eastbury said not-for-profit organisations are hugely reliant on opportunities to seek additional funding support, which ultimately means they can offer more assistance to more people.

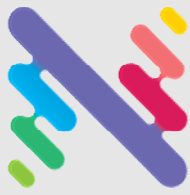
“For HopeStreet, the Newcastle Grant Finder online service will enable us to be both agile and efficient, so we can spend more time and effort offering hope and practical support to people while being in the know about funding opportunities that align with our services as well as bringing to life our future ideas.”

Maryland Fletcher Football Club vice-president Tom Marshall said the new online service would assist local sporting clubs with finding grant funding opportunities to maintain their facilities.

“We, like many sporting clubs in the area, are always looking for additional funding to maintain or improve our facilities to increase participation in the game and do our bit in building stronger communities through football.”

City of Newcastle's Community Grants and Sponsorship Policies are currently under review and will go on public exhibition on 24 February 2021.

To explore funding opportunities visit [Newcastle Grant Finder](#).

[No images? Click here](#)

City of Newcastle



Draft Community Grants Policy and Draft Sponsorship Policy - Public Exhibition

Throughout 2019 and 2020 we reviewed City of Newcastle's (CN) funding programs. We consulted with our community through workshops and surveys, conducted staff interviews and workshops and researched best practice examples from other local government councils and relevant reports.

The draft Policies are the consolidation of existing policies and will provide consistency, transparency and a strong customer focus for CN funding programs.

A key theme from consultation was the desire for equitable access to funding. CN are working to strengthen our 'enabler' function and build capacity within the community for community-led projects.

We aimed to simplify the CN funding opportunities including key themes, establish a yearly schedule of funding opportunities and reduce the administration burden.

To help us achieve a great outcome for grants and sponsorship we encourage you to give your feedback on the draft policies.

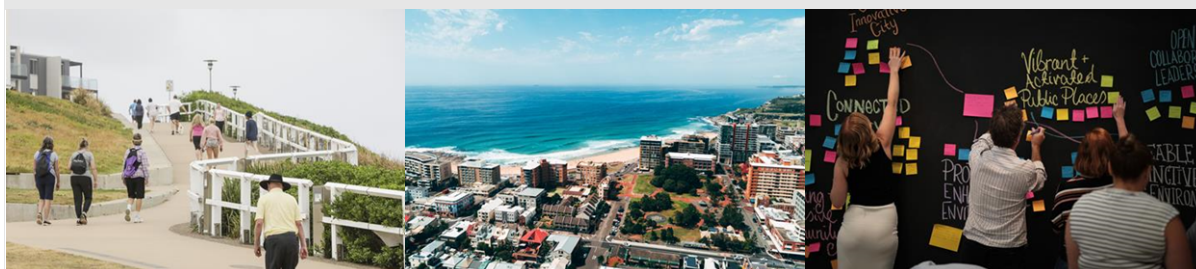
You can provide comment on our '[Have Your Say](#)' page.

The public exhibition period closes 5pm Wednesday 24 March 2021.

After consideration of all of the feedback during the public exhibition period, our next step is to present the draft policies to Council for adoption in April.

It is intended that some Grant Funding will be open for applications as early as May 2021.

HAVE YOUR
SAY



City of Newcastle

12 Stewart Ave, Newcastle West, NSW Australia 2302

For more information call City of Newcastle on 4974 2000.

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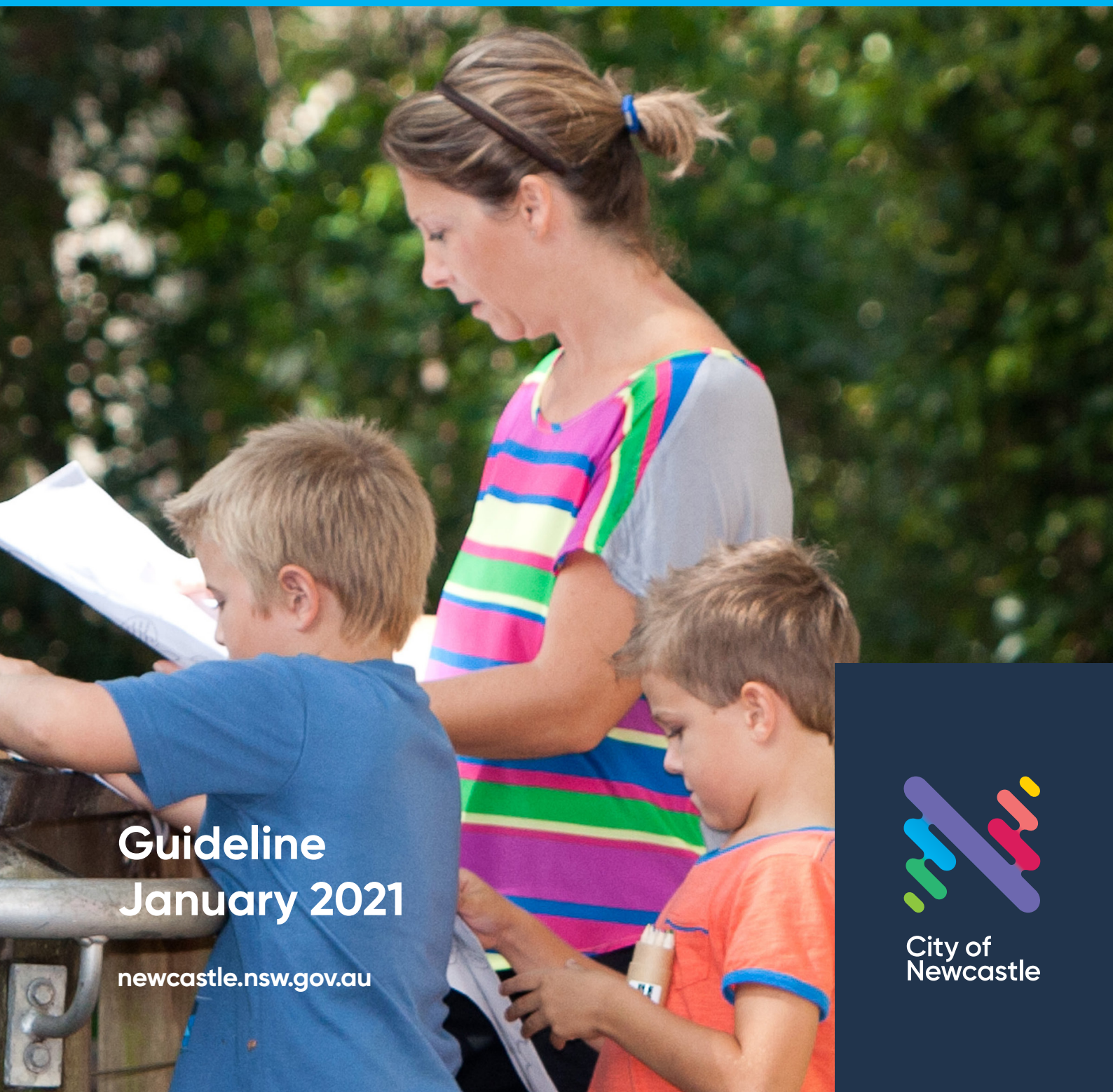
**CCL 27/04/2021 – ADOPTION OF THE COMMUNITY GRANTS AND
SPONSORSHIP POLICY**

ITEM-34 Attachment D: Community Grants Programs - Guidelines

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Community Grants Guidelines

52
DRAFT



Guideline
January 2021

newcastle.nsw.gov.au



City of
Newcastle

City of Newcastle's (CN) Community Grant Programs (CGPs) provide a number of funding opportunities to support initiatives that contribute to the social, cultural, environmental, and economic life of the city.

These offer support for a diverse range of Activities and are a powerful way of responding to local needs and delivering outcomes that CN, on its own, may not be able to provide.

For more information, please visit:

www.newcastle.nsw.gov.au/community/grants-and-sponsorships

For further assistance, email grants@ncc.nsw.gov.au or call (02) 4974 2000.

Contents

Part A Preliminary	4
1 Background	4
2 Purpose	4
3 Scope	4
Part B Community Grants Program	5
4 General Eligibility	5
5 Grants Process	7
6 Privacy	9
Part C Grants Programs and Allocations	10
7 Infrastructure Grants	11
8 Community Support Grants	14
9 Ad Hoc Grants	17
10 Variation Requests	17
Annexure A - Definitions	18
Annexure B - Policy Authorisations	20
Document Control	21

Part A

Preliminary

1 Background

- 1.1 City of Newcastle's (CN) Community Grant Programs (CGPs) provide a number of funding opportunities to support initiatives that contribute to the social, cultural, environmental, and economic life of the city. These offer support for a diverse range of Activities and are a powerful way of responding to local needs and delivering outcomes that CN, on its own, may not be able to provide.
- 1.2 CN Grants are highly competitive. In order to submit an eligible and competitive application please read the Community Grants Policy, this Guideline document and contact CN to discuss an application prior to submission.

2 Purpose

- 2.1 The purpose of CN's CGPs are to fund Activities that contribute to CN's vision and priorities, which are detailed in Newcastle 2030: Community Strategic Plan (CSP).
- 2.2 These Guidelines provide specific instructions in making an application for funding within different CGPs.
- 2.3 These Guidelines are to be read in conjunction with the Community Grants Policy. The Guidelines and Policy must be read prior to lodging any application.

3 Scope

- 3.1 These Guidelines apply to all aspects of CN's CGPs, including application processes, decision making, Funding Agreements and Activity Acquittal.
- 3.2 These Guidelines apply to all ad-hoc Grant funding not connected to a specific CGP.
- 3.3 These Guidelines cover all elected members of Council, all CN employees, any person or organisation contracted to or acting on behalf of CN, any person or organisation employed to work on CN premises or facilities and all Activities of CN.
- 3.4 These Guidelines do not apply to:
 - 3.4.1 CN Sponsorship Programs
 - 3.4.2 Grants received by CN
 - 3.4.3 Donations provided by CN
 - 3.4.4 CN Special Business Rate Funding.

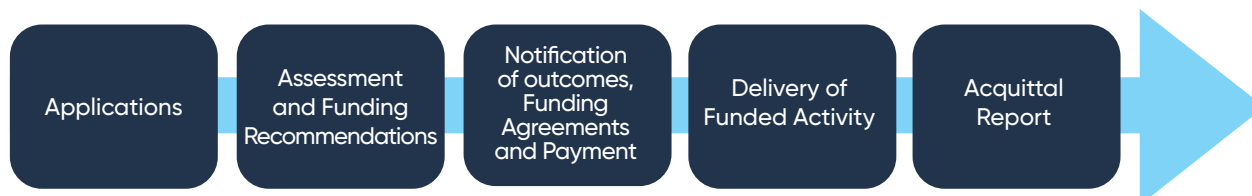
Part B Community Grants Program

4 General Eligibility

- 4.1 All applications must meet the eligibility criteria in order to be considered for funding. Ineligible applications will not progress to assessment.
- 4.2 The eligibility criteria common to all of CN's Grants are listed below. In addition to this, each Grant Program has Program specific eligibility criteria, and these are detailed later in these Guidelines.
- 4.3 Common eligibility criteria require that:
 - 4.3.1 Applicants must operate within the Newcastle Local Government Area and/or be able to demonstrate that the Activity will directly benefit residents of Newcastle;
 - 4.3.2 Applications must be received on or before the advertised due date and completed with the required level of detail and supporting documentation as specified in these Guidelines;
 - 4.3.3 Applicant's Activity must begin after the Grant funding commencement date;
 - 4.3.4 Funding for retrospective, recurrent or ongoing funding will not be considered;
 - 4.3.5 The Activity must be consistent with the CSP and Sustainable Development Goals (SDGs);
 - 4.3.6 Applicants must have the appropriate level of insurance for the Activities that are the subject of the funding request;
 - 4.3.7 Applicants must be capable of obtaining all regulatory approvals for the Activity.
 - 4.3.8 Where an Activity will involve adults working with children, successful applicants must undertake the necessary 'Working with Children' checks. The applicant must provide CN with a letter advising of the successful completion and clearance of these checks prior to commencement of Activity. The letter must be signed by an office bearer of the organisation receiving the Grant.
- 4.4 Ineligible applications – CN does not provide Grants for:
 - 4.4.1 Activities that duplicate existing services or have a current Funding Agreement in place for the same Activity. This applies to all funding from CN including Grants, Sponsorships and Special Business Rate Funding. This includes cash and in-kind support;
 - 4.4.2 Religious ceremonies and/or Activities that exclude the general population where the promotion of a single faith is the main purpose, or religious Activities that could be perceived as divisive in the community;
 - 4.4.3 Profit making Activities where the profits are allocated to shareholders, owners and/or members;

- 4.4.4 Activities that vilify or discriminate a person or persons in respect of race, religion or sexual orientation or use live animals as part of a performance;
 - 4.4.5 Applications seeking funds for prize money, gifts or awards or general fundraising appeals including those seeking funding for representative sport or cultural Activities;
 - 4.4.6 Fees and charges associated with compliance or development applications payable to CN.
- 4.5 The following Partnerships, sole traders or individuals are not considered by CN as suitable for Funding Agreements, including those:
- 4.5.1 Involved in any Socially Harmful Activity and/or manufacture, distribution and wholesaling of an Addictive Drug;
 - 4.5.2 Found guilty of illegal or improper conduct by the Independent Commission Against Corruption (ICAC) or any similar authority;
 - 4.5.3 Subject of a criminal conviction imposed by a Court of New South Wales or other jurisdiction in Australia, including for any offence under the *Crimes Act 1900* (NSW), *Crimes Act 1914* (Cth) and the *Criminal Code Act 1995* (Cth);
 - 4.5.4 Involved in political fields or affiliations, e.g. political parties;
 - 4.5.5 Other local, state or federal government departments and agencies;
 - 4.5.6 Involved in a competitive tender or purchasing process for the same Activity, at, or around the time of negotiating a Grant or other Sponsorship Agreement; and
 - 4.5.7 Record of unsatisfactory Acquittal of prior Grant or Sponsorship with CN;
 - 4.5.8 Record of outstanding debt with CN;
 - 4.5.9 Employees of CN or Councillors are not eligible to directly apply for funding. If an employee of CN or Councillor is a party to an application submission this must be declared, and the employee or Councillor is unable to take part in the assessment process of the Grant program.

5 Grants Process



5.1 Applications:

- 5.1.1 All applications must be made online through CN's online Grant management system - <https://newcastle.smartygrants.com.au/>
- 5.1.2 Computers can be booked at all CN library branches and CN officers can assist in the online application process.
- 5.1.3 Application forms differ between program streams and may include additional requirements such as video submissions and/or in-person presentations.
- 5.1.4 Multiple applications from one entity will be considered where proposals relate to separate Activities. Applications for a specific Activity will be considered in one program only, and applicants must nominate the program in which they wish to be considered.

5.2 Auspicing

- 5.2.1 CN accepts applications from organisations that are providing such auspice arrangements to groups that would otherwise not be eligible for funding. Sometimes individuals, unincorporated groups or newly incorporated associations with great community Activity ideas partner with existing non-profit organisations to access funding and help an Activity happen in our community. This type of relationship is often called 'auspicing'.
- 5.2.2 Auspicing can be a relatively quick and efficient way to secure funding and get a community Activity started, in some cases, without establishing one's own organisation. The organisation providing the auspice for the Activity may offer particular skills, infrastructure, resources, legal and insurance protection, and management assistance for the Activity, depending on what is agreed.
- 5.2.3 In such cases, the organisations providing auspice should complete the application form as the "Applicant Organisation" as they are the organisation that enters into a formal funding relationship with CN if successful.

5.3 Assessment & Funding Recommendations:

- 5.3.1 Applications are reviewed by relevant CN Officers to determine if eligibility requirements have been met. NOTE: applications deemed ineligible will not progress to assessment.
- 5.3.2 All eligible applications undergo an initial evaluation against Assessment Criteria. This is completed by relevant CN Officers with appropriate knowledge and expertise in the Program being assessed.
- 5.3.3 The Assessment Panel will, at a minimum, consist of:
 - One (1) CN Employee with subject matter expertise;
 - One (1) CN Service Unit Manager (or delegate);
 - One (1) CN Director (or delegate);
 - Lord Mayor (or delegate).

- 5.3.4 The Assessment Panel then meet to assess all applications, using the initial evaluation outcomes as guidance, to determine which applications will be successful. The Assessment Panel can allocate funding up to the budgeted amount.
- 5.3.5 Even if an application meets all the eligibility and Assessment Criteria, it may not be supported. Assessors may consider other available information regarding the applicant, its services and Activities, including details of previous Activities.
- 5.3.6 The outcome of the Panel's assessment will be recorded and retained in CN's records management system.
- 5.3.7 Determinations of the Assessment Panel are final, and no further discussions will be entered into.
- 5.4 Delivery of funded activity:
 - 5.4.1 Delivery of the agreed Activity must occur within the timeframe listed in the Funding Agreement.
 - 5.4.2 If a successful recipient requires a variation to either the Activity or the delivery time, a variation request must be submitted. See section 10 for further details.
- 5.5 Notification of outcomes, Funding Agreements, and payments:
 - 5.5.1 All applicants will be notified of the outcome of their application.
 - 5.5.2 Successful applicants will be required to complete a Funding Agreement. The Funding Agreement will include conditions and reporting requirements in exchange for funding. Certain special conditions may be placed upon an applicant's funding at the Assessment Panel's discretion.
 - 5.5.3 Awarding of funding from CN via a Funding Agreement in no way implies any ongoing funding commitment or obligation by CN, including for payments for works (including maintenance) delivered outside of the financial year in which the Activity was agreed to be completed.
 - 5.5.4 Awarding of a Funding Agreement does not imply that CN has given any other consent. Applicants should note that many activities require approvals and consents from CN, NSW Police and other state government agencies and that they are wholly responsible for obtaining such approvals. The failure to obtain approvals will void the Funding Agreement and may result in funding being revoked even where works have been completed.
 - 5.5.5 Upon submitting the Funding Agreement along with a Tax Invoice and copies of relevant insurances, the applicant's payment will be released into their nominated bank account.
 - 5.5.6 In accordance with *A New Tax System (Goods and Services Tax) Act 1999 (Cth)*, if entities do not have an Australian Business Number (ABN), CN may be required to withhold 49% of any funds allocated.
 - 5.5.7 All financial information provided should be exclusive of GST. Successful entities that are registered for GST will receive the allocated Grant amount plus GST. Successful entities that are not registered for GST will receive the allocated Grant amount, which is exclusive of GST.
 - 5.5.8 CN will require all successful recipients to publicly acknowledge CN as a supporter of the Activity. This requirement will be included in the Funding Agreement and evidence will be requested in the Acquittal Report.

- 5.5.9 Table 1 below details the quote requirements for any goods/services the applicant intends to procure as part of the proposed Activity. This can include a catalogue item or quote from a provider. In addition to the quote requirements, an applicant may be asked to provide rationale about why a quote was chosen if it is not the cheapest option (e.g. experience, previous knowledge).
- 5.4.10 CN reserves the right to determine the value for money of quotes provided during the assessment process.

Table 1: Quote requirements

Value of Goods/Services	Quote Requirement
Under \$3,000 (inc. GST) for capital purchases including equipment and infrastructure works	One written quote required
\$3,000 and above (inc. GST) for capital purchases including equipment and infrastructure works	Two written quotes required
Consultancy/Contractor fees of any value (includes works requiring licensed tradespersons)	Two written quotes required
Services provided by applicant	Hourly rate to be provided and must not exceed capped resource rates

** Note – For items where quotes are not specifically requested, a well-researched and realistic budget, clearly indicating what CN funds would be spent on and the sources and application of matching contributions is required.*

- 5.5 Acquittal Report:
- 5.5.1 Successful applicants must provide a final Acquittal Report to CN within 45 days of Activity completion.
- 5.5.2 The information required will be specified in the Funding Agreement and may include:
- Final accounts (audited, if appropriate).
 - Evidence of how CN was acknowledged during the Activity.
 - An assessment of the outcomes realised against the outcomes anticipated or estimated in the application form.
 - Formal advice of funds not spent (funds not expended for the purpose outlined in the application must be returned to CN).

6 Privacy

- 6.1 CN pledges to respect and uphold applicant rights to privacy protection under the Australian Privacy Principles (APPs) as established under the *Privacy Act 1988* (Cth) and amended by the *Privacy Amendment (Enhancing Privacy Protection) Act 2012* (Cth). Refer to CN's [Privacy Management Plan](#) for further information.

Part C

Grant Programs and Allocations

Table 2: Grant Programs Overview

Program	Overview	Streams	Amount per Application	Eligible Entities
Infrastructure Grants	Infrastructure Grants are offered annually and target minor capital Activities that enhance the economic, social, and environmental well-being of the local community. The Grants also assist building owners, commercial operators, and other stakeholders to improve their building facades to enhance our city's presentation.	Recreation Facilities	\$1,000 to \$5,000	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses
		Sustainability		
		Façade Improvement		
Community Support Grants	Community Grants support community-based groups, sport and recreation clubs, and service organisations to develop effective Activities that address the social, economic and/or environmental needs of residents in the Newcastle LGA. In addition, CN supports Professional Not-For-Profit Arts and Cultural Organisations by providing funding to grow sustainability and provide a funding base that organisations can leverage with other funding providers.	Quick Response	\$1,000 to \$4,000	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses • Individuals
		Arts, Culture, and Heritage	\$4,000 to \$20,000 <i>*Up to \$50,000 for Professional Arts and Cultural Organisations</i>	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses • Individuals must be Auspiced by eligible entity
		Environment	\$4,000 to \$20,000	
		Social Inclusion	\$4,000 to \$20,000	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Individuals must be Auspiced by eligible entity

*See *Definitions* for details on what constitutes a Professional Not-For-Profit Arts and Cultural Organisation

7 Infrastructure Grants

7.1 Overview

7.1.1 The Infrastructure Grants program is an annual funding program which targets capital Activities that enhance the economic, social, and environmental well-being of the local community. The program also assists building owners, commercial operators and other stakeholders to improve their building facades to enhance our city's presentation.

7.1.2 Three different streams are available within the Infrastructure Grant Program as detailed in Table 3.

Table 3: Infrastructure Grants Streams

Stream	Façade Improvement	Recreation Facilities	Sustainability
Objective	To improve building facades and create active frontages in the city, sensitive to heritage, evoking pride, enhancing our city's presentation, and engaging the community in local and neighbourhood centres revitalisation.	To assist in the provision or development of suitable sport and recreation facilities. To create opportunities for CN and local sporting groups to form Partnerships in upgrading existing or developing new facilities. To provide a wide range of sport and recreation facilities that assist in meeting the needs of the community in a cost effective and co-operative manner.	To reduce the carbon footprint of the Newcastle community and to increase community capacity and capability to address local needs and opportunities in sustainability. This includes renewable energy efficiency measures, water saving and water storage, capture and reuse initiatives, green walls, use of low emission construction products, and nature-based solutions.
Annual Priorities	As identified in the current financial year funding round.	To address maintenance and upgrade of sporting infrastructure with consideration to current and future needs of the community.	Solar PV, battery storage, EV charging and energy efficiency initiatives.
Eligible Entities	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses 	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses 	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Small businesses (20 employees or less) • Note: preference will be given to not-for-profit and community organisations.

Stream	Façade Improvement	Recreation Facilities	Sustainability
Additional Eligibility Requirements	<ul style="list-style-type: none"> • Applications taking place on private property must include written evidence of approval as venue confirmation from the landlord or owner. This includes spaces managed by CN such as libraries and community centres. • Organisations must be able to fund the costs of the works as CN will provide the funding at the completion of works. Consideration will be given to upfront payment by CN if there is financial hardship. • Application must take place within an identified priority area. • Activity needs to be visible by general public. 	<ul style="list-style-type: none"> • The Activity must be located on land owned or managed by CN • Applicant must have the appropriate level of insurance. 	<ul style="list-style-type: none"> • Applications taking place on private property must include written evidence of approval from the landlord or owner.
Ineligible Applications	<ul style="list-style-type: none"> • On-going operational or administrative costs not directly related to the Activity. • The improvement must not include Business identification or methods for Business promotion. • Capital expenses (for example ladders, gurneys, scaffolding and safety barriers). Hiring of equipment is permitted when directly related to the Activity. • Signage is ineligible. 	<ul style="list-style-type: none"> • Applications for travel, salaries, or private expenses will not be supported. 	<ul style="list-style-type: none"> • Activities located on land owned or managed by CN.
Amount Per Application	\$1,000 - \$5,000 (ex GST)	\$1,000 - \$5,000 (ex GST)	\$1,000 - \$5,000 (ex GST)

Stream	Façade Improvement	Recreation Facilities	Sustainability
Base Assessment Criteria	Alignment to CN Priorities: the degree to which the Activity addresses CN's priorities from the Community Strategic Plan (CSP) and any additional priority areas identified annually. 20%		
	Collaboration and engagement: the extent to which the proposed Activity demonstrates constructive and cooperative relationships between the applicant, CN, surrounding property owners and community. 20%		
	Delivery: ability to demonstrate the delivery of Activity outcomes can occur on time and within budget. 20%		
	Value with public money: the ability to demonstrate value for money through careful consideration of costs, benefits, options, and risk. Funding co-contributions from applicant and partner organisations are encouraged. 20%		
Additional Assessment Criteria	Demonstration that the Activity will improve building facades and create active frontages in the city, sensitive to heritage, evoking pride, enhancing our city's presentation, and engaging the community in local and neighbourhood centres revitalisation. 20%	Demonstration that the Activity will help Newcastle sporting groups through delivery of minor capital works Activities with respect to: - Equitable provision and development of facilities - Efficient management of facilities - Partnerships development - Promotion of facilities 20%	Demonstration that the Activity will help successful applicants to reduce emissions. 20%
Applicant Contribution	2:1 ratio Grant, with a minimum one third of costs matched by the applicant. Value In-Kind will not be accepted.	Minimum 50% contribution from applicant. Grants are provided on a dollar for dollar/work in-kind basis.	Minimum 50% contribution from applicant. Grants are provided on a dollar for dollar cash basis. Value In-Kind will not be accepted.
Examples	Painting, brick pointing, façade repairs, lighting upgrades, fencing repairs and landscaping.	Pathways, canteen renovations, fencing, park drainage, irrigation, cricket sight screens, solar power for CN owned facilities.	New or upgraded solar technology for private spaces.

8 Community Support Grants

8.1 Overview

8.1.1 Community Support Grants encourage Activities that enhance the quality of life of residents, provide community capacity building and protect and enhance the natural qualities of the city.

8.2 Outcomes

8.2.1 Applications must provide at least one outcome listed below. Priority will be given to applications that deliver more than one outcome.

- a) Enhanced positive social, cultural, and/or sustainability outcomes for local communities related to our strategic priorities.
- b) Increased engagement of individuals and teams in sporting, academic, cultural and environmental fields.
- c) Increased visibility and understanding of the history, stories and character of the city and its villages through creative Activities.
- d) Improved identification, protection, knowledge and understanding of the region's Aboriginal cultural heritage.
- e) Increased opportunities for performers/artists to deliver and audiences to access live music, arts, cultural and performance Activity.
- f) Improved inclusion, liveability, connectedness and engagement in our diverse communities.
- g) Improved organisational ability to respond to the needs of the community.
- h) Create a resilient city that reduces its share of emissions to ensure a cleaner and more sustainable future.
- i) Encourage a wide diversity of nightlife participants to enjoy a vibrant cultural scene in Newcastle at night.

8.3 Details

8.3.1 Four different streams are available within the Community Support Grant Program.

8.3.2 Grant Applications submitted under the Quick Response stream are open year-round and will be assessed every three months. All other streams are offered annually.

8.3.3 In addition to the Assessment Panel outlined in 5.2.3 the Assessment Panel for each program will also consist of;

- a) Infrastructure Grant Stream – The Chair of CN Infrastructure Advisory Committee
- b) Community Support Grants Quick Response Program – The Chair of CN Liveable Cities Advisory Committee
- c) Community Support Grants – The Chair of CN Community and Cultural Advisory Committee

8.3.4 Where a decision from the panel is unable to be reached or additional guidance required, applications will be referred to the three Councillors of the relevant CN advisory committee for a decision.

Table 5: Community Support Grants Streams

Stream	Quick Response	Arts, Culture and Heritage	Social Inclusion	Environment
Objective	Support Community Events, Activities, and programs which require financial support to achieve their aims. Activities supported will enhance the quality of life of residents, provide community capacity building and protect and enhance the natural and built qualities of the city.	Support Activities that promote and celebrate our rich heritage, creative and diverse community and contribute to the achievement of the city's desired outcomes for culture, heritage, and the arts. In addition, CN supports Professional Not-For-Profit Arts and Cultural Organisations by providing funding to grow sustainability and provide a funding base that organisations can leverage with other funding providers.	Support Activities that strengthen our diverse communities by increasing connection, social inclusion, and access for the most vulnerable in the community.	Supports Activities that improve Newcastle's environment or inspires environmentally sustainable behaviour in the city.
Annual Priorities	As identified in the current financial year funding round.	Expose local stories, both historic and contemporary, through cultural programming and build Newcastle's cultural identity.	Localised social and community connections – Jesmond, Mayfield, Wallsend, Maryland, Elmore Vale, Beresfield and surrounds; and Social and community connections for hard to reach, vulnerable or newly vulnerable communities 'Aboriginal, CaLD, Seniors, Youth and children, PWD, LGBTIQ, women and men'.	Activities that increase knowledge/ understanding and encourage clean technology and promote a low carbon circular economy.
Eligible Entities	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses • Individuals 	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses 	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations 	<ul style="list-style-type: none"> • Legally constituted not-for-profit organisations • Businesses
Additional Eligibility Requirements	<p>No more than 20% of the total requested funding amount can be for contingency, administration costs (including wages or fees for staff, board, or committee members), insurances and utilities.</p> <hr/> <p>Applications taking place on private property must include written evidence of approval as venue confirmation from the landlord or owner. This includes spaces owned by CN such as libraries and community centres.</p> <hr/> <p>Funding for Community Events is only available in the Quick Response stream. For Community Events where more than \$4,000 is requested, an application to the Event Sponsorship Program will be required.</p> <hr/> <p>Funding for Professional Not-For-Profit Arts and Cultural Organisations is only available to organisations who meet the following requirements:</p> <ul style="list-style-type: none"> • Organisation must be an incorporated not-for-profit entity with a core arts and cultural purpose • Organisation must engage Professional Arts Practitioners as key creative personnel • Organisation must have multiple income streams, a strong and growing audience base and working relationships with a breadth of artists. 			

Stream	Quick Response	Arts, Culture and Heritage	Social Inclusion	Environment
Ineligible Applications	Activities that directly contravene the general eligibility requirements.			
	Activities that supplement, increase, or continue ongoing service delivery or for funding the 'core' business of the organisation.			
	Fees and charges related to compliance or development applications payable to CN.			
	The purchase of capital items beyond the immediate needs of the Activity. These include vehicles and office equipment.			
	Travel, salaries, or private expenses.			
Amount Per Application	\$1,000 - \$4,000 (ex GST)	\$4,000 - \$20,000 (ex GST) <i>*Up to \$50,000 for Professional Not-For-Profit Arts and Cultural Organisations</i>	\$4,000 - \$20,000 (ex GST)	\$4,000 - \$20,000 (ex GST)
Base Assessment Criteria	Alignment to CN Priorities: the degree to which the Activity addresses CN's priorities from the Community Strategic Plan (CSP) and annual identified priorities. 25%			
	Capacity building and ongoing impact: the extent to which the proposed Activity can be a catalyst to kick-start an idea with potential to grow and/or the potential of the Activity. 20%			
	Delivery: ability to demonstrate the delivery of Activity outcomes can occur on time and within budget. 15%			
	Value with public money: the ability to demonstrate value for money through careful consideration of costs, benefits, options, and risk. Funding co-contributions from applicant and partner organisations are encouraged. 15%			
Additional Assessment Criteria	Community need and benefit: the ability to demonstrate clear issue(s) to be addressed, the need for the Activity, the appropriateness of the proposed actions and the positive impact of the proposed outcomes for the city. 25%	Merit: the potential contribution to the development of the artistic, cultural or heritage fields and the originality, quality, creativity, capacity building potential, and ambition of the proposal. 25% <i>*Professional Not-For-Profit Arts and Cultural Organisations must also demonstrate the ability of the organisation to leverage both CN and other funding and support to grow the sustainability of the organisation.</i>	Community need and benefit: the ability to demonstrate clear issue(s) to be addressed, the need for the Activity, the appropriateness of the proposed actions and the positive impact of the proposed outcomes in promoting diverse participation, social inclusion and respect. 25%	Tangible environmental and/or sustainability outcomes: the ability to demonstrate clear issue(s) to be addressed, the need for the Activity, the appropriateness of the proposed actions and the positive impact of the proposed outcomes for the city. 25%
Examples	Emergency support, capacity building Activities, Community Events, purchase of minor equipment, training / upskilling.	Professional skills development, creation of new works and creative development, workshops, talks or public programs, digital or video-based Projects, community engagement Activities, heritage walking tours, virtual reality (VR) / augmented reality (AR) heritage interpretation.	Outreach programs, assisted community living, pop-up pantry / food services, translation/language services.	Community gardens, bush regeneration, education, native garden planting.

9 Ad Hoc Grants

- 9.1 Process
- 9.1.1 Ad hoc Grants may be offered by CN to meet a specific need, often due to an urgent matter or other circumstances. These Grants are typically available to a select range of applicants and are not ongoing.
- 9.1.2 As per the Community Grants Policy, the CN Director may determine to allocate a portion of the total funding available each financial year (along with any unexpended or returned funds) for ad hoc applications outside the competitive round detailed in these Guidelines.
- 9.1.3 Ad hoc Grant opportunities may be:
- 9.1.3.1 Open – these Grant opportunities will be published on the CN website and all eligible applicants will be able to apply.
- 9.1.3.2 Closed – applications will be received or requested by invitation only to targeted cohorts.
- 9.2 Assessment
- 9.2.1 Applications for ad hoc Grants will be assessed from the most relevant program. Further criteria may be used and, if so, these will be included in guidance material.
- 9.2.2 Applications for ad hoc Grants will be assessed by the Assessment Panel from the most relevant program as defined in 5.2.3 and 8.3.3.

10 Variation Requests

- 10.1 A Grant variation is a change to a Grant. Variation requests are categorised as:
- 10.1.1 Funding Period Variations: changes to the Funding Period due to a delayed start date, a delay during the Grant, a change to the end date, and/or changes to the Activity term.
- 10.1.2 Activity Variations: Change to the scope of an Activity including changes to budget allocations, redirection of funds and changes in outputs.
- 10.2 There are specific circumstances where it is appropriate for a CN Grant to be varied. CN Grants are awarded following rigorous assessment of an application and accordingly any proposed Grant variations, including changes to the Activity or Funding Period, need to be reviewed and approved by the Assessment Panel.
- 10.3 CN will consider each request to vary a Grant relative to the following:
- the individual circumstances outlined in the variation request;
 - the Guidelines under which the Grant was applied for;
 - the best outcomes for the Grant against its aims and objectives;
 - whether the Grant will continue to align with the purpose of the Grant opportunity;
 - whether the Grant will continue to achieve value with relevant public money;
 - any other matters of which CN is aware relevant to the Grant or the recipient.
- 10.4 Variation requests that contradict the eligibility criteria of the CGP will not be accepted. For example if an eligibility criterion was a limit of 20% for administration fees and the variation results in more than 20% in administration fees, the variation request will be rejected.
- 10.5 A variation request must be submitted to CN via CN's Grants management system at least six weeks before the proposed date of effect to allow adequate time for review.
- 10.6 To receive access to the variation request form, please contact us on (02) 4974 2000 or email grants@ncc.nsw.gov.au.

Annexure A - Definitions

Addictive Drug means any substance listed in the Therapeutic Goods Administration Poisons Standard or listed as a prohibited drug at Schedule 1 of the Drug Misuse and Trafficking Act 1985 (NSW).

Acquittal is a report submitted as per a Funding Agreement at the conclusion of a Project detailing how the recipient administered the Grant funds and met the Activity outcomes in the Funding Agreement.

Activity is defined as one-off or time-limited task/undertaking or series of linked tasks/undertakings with specific goals and conditions, defined responsibilities, a budget, planning, information about the parties involved and a specific start date and end date. This can also be referred to as a Project.

Assessment Criteria means the method used to evaluate an application.

Assessment Panel means the panel assessing applications and determining Grant Funding.

Auspice is an incorporated organisation that receives, administers, and acquits Grants on behalf of an applicant.

Business is an entity engaged in commercial, professional, charitable or industrial Activities. A Business can refer to:

- **Company** is defined by the Corporations Act 2001 (Cth) and registered with Australian Securities and Investment Commission (ASIC). Companies must be registered in Australia to be eligible to apply.
- **Company Limited by Guarantee** is a Company with liability limited to the guarantees put in place by its members. This is a common structure used by the not-for-profit sector. Cooperative.
- **Cooperative** is an organisation owned, controlled by and used for the purpose of benefiting its members.
- **Incorporated Association** is an association that has been incorporated in accordance with the requirements of the Associations Incorporation Act 2009 (NSW).
- **Indigenous Corporation** is established under the Corporations (Aboriginal and Torres Strait Islander) Act 2006 (Cth).
- **Proprietary Limited Company** is a proprietary limited company (abbreviated as 'Pty Ltd') is a Business structure that has at least one shareholder and no more than 50 non-employee shareholders, where the liability of shareholders is limited to the value of shares.

City of Newcastle (CN) means Newcastle City Council.

CN employees means persons employed by the CN who is duty-bound to follow the policies and procedures of CN.

Community Events are staged largely for social, fun and entertainment value for the local community. They are targeted primarily at a local audience but may attract from outside the region thereby providing some economic, social and cultural benefits. They may have some wider regional benefits but to a lesser extent than major events.

Community Strategic Plan (CSP) represents the highest level of strategic planning undertaken by CN. It identifies the main priorities and aspirations of our community and provides a clear set of strategic directions to achieve the community's vision.

Council means the elected Council.

Funding Agreement means the agreement entered into by CN and the successful applicant for the cash support. It will articulate support provided by CN as a financial contribution for the development and delivery of a quality Activity. The Agreement will also detail Acquittal and acknowledgement conditions for the funding.

Grant is the financial support provided to applicants for an Activity. A Grant seeks a nominal return on investment from the benefits provided the community. Benefits may include improvement in the quality of life for the community from Activities meeting identified needs.

Guidelines means the specific CGPs conditions and criteria for each separate Grant opportunity to be read in conjunction with the Community Grants Policy.

Not-for-profit organisation is an organisation that does not directly operate for the profit or gain of its owners, members or shareholders, either directly or indirectly. The organisation must be registered with the Australian Securities & Investment Commission (ASIC) or The Australian Charities and Not for Profit Commission (ACNC).

Partnership is a contractual relationship between persons carrying on Business with a view to profit. Partnerships can be 'normal' (unregistered), limited or incorporated and limited (both registered on the Register of Limited Partnerships and Incorporated Limited Partnerships, administered by NSW Fair Trading).

Professional Arts Practitioner must have a self-assessed commitment to artistic work as a major aspect of the artist's working life, even if creative work is not the main source of income. The term professional is intended to indicate a degree of training, experience or talent and a manner of working that allows that artist's work to be assessed against the highest professional standards of the relevant occupation.

Professional Not-For-Profit Arts and Cultural Organisation is an incorporated not-for-profit entity with a core arts and cultural purpose. The organisation must engage Professional Arts Practitioner as key creative personnel. The organisation must have multiple income streams, a strong and growing audience base and working relationships with a breadth of artists.

Project see Activity.

Registered Charity with the Australian Charities and Not-for-profits Commission.

Socially Harmful Activity includes any Activity involving the abuse of human rights or labour rights, bribery, corruption, production or supply of armaments, manufacture, distribution and wholesaling of alcohol, tobacco or nicotine related products, gambling products or services, pornography, the trade of fur or other illegal wildlife trade, abuse of animal welfare, live animal entertainment and any other Activity which CN reasonably considers may pose a Socially Harmful Activity.

Special Business Rate are funds collected from city precinct Businesses for the promotion, beautification and development of the precincts, and awarded through a competitive application process.

Sponsorship Agreement means the agreement entered into by CN and the successful applicant for the cash support. It will articulate support provided by CN as a financial contribution for the development and delivery of a quality Activity. The Agreement will also detail Acquittal and acknowledgement conditions for the Sponsorship.

Sponsorships are commercial agreements in exchange for a benefit(s). Sponsorship is not philanthropic with the sponsor expecting a benefit (return on investment) as agreed in a Sponsorship Agreement.

Value-in-kind refers to goods or services provided by other supporters of the Activity that has a real value for the Activity.

Annexure B - Policy Authorisations

Function	Position Number / Title
Determine and approve weightings for Assessment Criteria	Service Unit Manager (or delegate)
Acquittals in line with the Funding Agreement	Service Unit Manager (or delegate)
Approve Activity variations	Service Unit Manager (or delegate)
Execute Funding Agreements to approved Grants consistent with the Assessment Panel's recommendation and in accordance with this Policy	Service Unit Manager (or delegate)
Review and approval of Grant Guidelines (annually)	Director (or delegate)
Approve grants on behalf of the elected Council (under s377 of the <i>Local Government Act 1993</i> (NSW))	Director (or delegate)
Assess and approve ad-hoc applications	Director (or delegate)
Assess applications and determine funding allocation	Assessment Panel
Approve Funding Value variations	Assessment Panel

Document Control

Guideline title	Community Grants Guidelines
Guideline owner	Community Grants Guidelines
Guideline expert/writer	Manager Community, Strategy and Innovation
Prepared by	Grants and Sponsorship Officer
Approved by	Council
Date approved	To be completed by Legal
Commencement Date	To be completed by Legal
Next revision date	Date the guideline is due for revision
Termination date	1 year post revision date
Version	Version #1
Category	Administration
Keywords	Grants, financial assistance, facilities, sport, recreation, community, arts, cultural, placemaking, youth
Details of previous versions	Nil.
Relevant strategic direction	Vibrant and Activated Public Places
Relevant legislation/codes (reference specific sections)	This policy supports CN's compliance with the following legislation: <ul style="list-style-type: none"> • <i>Local Government Act 1993</i> (NSW)
Related policies/documents/ strategies	Community Grants Policy
Relevant strategy	Newcastle 2030 – Community Strategic Plan Sports Strategic Plan Heritage Strategy 2020-2030 Parkland and Recreation Strategy
Related forms	Related forms if applicable
Authorisations	Functions authorised under this policy at Annexure B.

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ATTACHMENTS DISTRIBUTED UNDER SEPARATE COVER

**CCL 27/04/2021 – ADOPTION OF THE COMMUNITY GRANTS AND
SPONSORSHIP POLICY**

ITEM-34 **Attachment E:** Sponsorship Programs - Guidelines

DISTRIBUTED UNDER SEPARATE COVER

Sponsorship Guidelines

DRAFT



Guideline
January 2021

newcastle.nsw.gov.au



City of
Newcastle

City of Newcastle's (CN) Sponsorship Programs (SPs) provide a number of Sponsorship opportunities to support initiatives that contribute to the economic life of the City.

CN provides financial Sponsorship for initiatives that will deliver tangible benefits to CN and the community, and help make Newcastle a smart, liveable and sustainable global City.

For more information, please visit:

www.newcastle.nsw.gov.au/community/grants-and-sponsorships

For further assistance, email sponsorship@ncc.nsw.gov.au or call (02) 4974 2000.

Contents

Part A Preliminary	4
1 Background	4
2 Purpose	4
3 Scope	4
Part B Sponsorship Program	5
4 General Eligibility	5
5 Sponsorship Process	7
6 Privacy	9
Part C Sponsorship Programs	10
7 Events	11
8 Major Event Development	14
9 Tourism and Economic Development	17
10 Ad Hoc Sponsorship	17
11 Variation Requests	17
Annexure A - Definitions	18
Annexure B - Policy Authorisations	20
Document Control	21

Part A

Preliminary

1 Background

- 1.1 City of Newcastle's (CN) Sponsorship Programs (SPs) provide a number of Sponsorship opportunities to support initiatives that contribute to the economic life of the city. CN provides financial Sponsorship for initiatives that will deliver tangible benefits to CN and the community, and help make Newcastle a smart, liveable and sustainable global city.
- 1.2 CN Sponsorships are highly competitive. In order to submit an eligible and competitive application please read the Sponsorship Policy, this Guideline document and contact CN to discuss your application prior to submission.

2 Purpose

- 2.1 The purpose of CN's SPs are to fund Activities that provide tangible benefits aligned with the Newcastle 2030: Community Strategic Plan (CSP).
- 2.2 These Guidelines provide specific instructions in making an application for Sponsorship within different SPs.
- 2.3 These Guidelines are to be read in conjunction with the Sponsorship Policy. The Guidelines and Policy must be read prior to lodging any application.

3 Scope

- 3.1 These Guidelines apply to all aspects of CN SPs including application processes, decision making, Sponsorship Agreements and Activity Acquittal.
- 3.2 These Guidelines apply to all ad-hoc Sponsorships not connected to a specific SP.
- 3.3 These Guidelines cover all elected members of Council, all CN employees, any person or organisation contracted to or acting on behalf of CN, any person or organisation employed to work on CN premises or facilities and all Activities of CN.
- 3.4 These Guidelines do not apply to:
 - 3.4.1 CN Community Grants Programs
 - 3.4.2 Sponsorships received by CN
 - 3.4.3 Donations provided by CN
 - 3.4.4 CN Special Business Rate Funding.

Part B Sponsorship Program

4 General Eligibility

- 4.1 All applications must meet the eligibility criteria outlined in the Sponsorship Policy in order to be considered for Sponsorship. Ineligible applications will not progress to assessment.
- 4.2 The eligibility criteria common to all CN's Sponsorships are summarised below. In addition to this, each SP has Program specific eligibility criteria, and these are detailed in sections 7.2 and 9.2 of these Guidelines:
- 4.3 Common eligibility criteria require that:
- 4.3.1 Applicants must demonstrate that the Activity will directly benefit CN and residents/businesses of Newcastle;
 - 4.3.2 Applications must be received on or before the advertised due date and completed with the required level of detail and supporting documentation as specified in the Guidelines;
 - 4.3.3 An Applicant's Activity must begin after the Sponsorship commencement date. Support for retrospective Sponsorship will not be considered;
 - 4.3.4 The Activity must be consistent with the CSP and Sustainable Development Goals (SDG);
 - 4.3.5 Applicant must have the appropriate level of insurance for the Activities that are the subject of the funding request;
 - 4.3.6 Applicants must be capable of obtaining all regulatory approvals for the Activity including those required from CN applicable for the proposed Activity;
 - 4.3.7 Where an Activity will involve adults working with children, successful applicants must undertake the necessary 'Working with Children' checks. The applicant must provide CN with a letter advising of the successful completion and clearance of these checks prior to commencement of the Activity. The letter must be signed by an office bearer of the organisation receiving the Sponsorship.
- 4.4 Ineligible applications – CN does not provide Sponsorship for:
- 4.4.1 Activities that duplicate existing services or have a current Funding Agreement for the same Activity. This applies to all support from CN including Grants, Sponsorships and Special Business Rate Funding;
 - 4.4.2 Religious ceremonies and/or Activities in which the promotion of a single faith is the main purpose; or religious Activities that could be perceived as divisive in the community;
 - 4.4.3 General fundraising appeals and charitable donations, including support for individual representative sporting or cultural endeavours;
 - 4.4.4 Academic research, coursework or fees, or Activities seeking financial support for research, studio work or Activities that will be submitted for academic assessment;

- 4.4.5 Ongoing operational costs, including rent or lease costs, general administrative costs or staffing or salary costs;
- 4.4.6 Activities that vilify or discriminate a person or persons in respect of race, religion or sexual orientation or use live animals as part of a performance.
- 4.5 The following entities or individuals are not considered by CN as suitable for Sponsorship Agreements, including those:
 - 4.5.1 Involved in any Socially Harmful Activity and/or manufacture, distribution and wholesaling of an Addictive Drug;
 - 4.5.2 Found guilty of illegal or improper conduct by the Independent Commission Against Corruption (ICAC) or any similar authority;
 - 4.5.3 Subject of a criminal conviction imposed by a Court of New South Wales or other jurisdiction in Australia, including for any offence under the *Crimes Act 1900 (NSW)*, *Crimes Act 1914 (Cth)* and the *Criminal Code Act 1995 (Cth)*;
 - 4.5.4 Involved in political fields or affiliations, e.g. political parties;
 - 4.5.5 Other local, state or federal government departments and agencies;
 - 4.5.6 Involved in a competitive tender or purchasing process for the same Activity, at, or around the time of negotiating a Grant or other Sponsorship Agreement;
 - 4.5.7 Record of unsatisfactory Acquittal of prior Grant or Sponsorship with CN;
 - 4.5.8 Record of outstanding debt with CN; and
 - 4.5.9 Employees of CN or Councillors are not eligible to directly apply for Sponsorship. If an employee of CN or Councillor is a party to an application submission this must be declared, and the employee or Councillor is unable to take part in the assessment process of the Sponsorship program.

5 Sponsorship Process



5.1 Applications:

- 5.1.1 All applications must be made online through CN's online funding management system - <https://newcastle.smartygrants.com.au/>
- 5.1.2 Computers can be booked at all CN library branches and CN officers can assist in the online application process.
- 5.1.3 Application forms differ between program streams and may include additional requirements such as video submissions and/or in-person presentations.
- 5.1.4 Multiple applications from one entity will be considered where proposals relate to separate Activities. Applications for a specific Activity will be considered in one program only, and applicants must nominate the program in which they wish to be considered.

5.2 Assessment & Sponsorship recommendations:

- 5.2.1 Applications are reviewed by relevant CN Officers to determine if all eligibility requirements have been met. NOTE: applications deemed ineligible will not progress to assessment and will not be able to resubmit if the application period has closed.
- 5.2.2 All eligible applications undergo an initial assessment against Assessment Criteria. This is completed by relevant CN Officers with appropriate knowledge and expertise in the Program being assessed.
- 5.2.3 The Assessment Panel then meet to assess all eligible applications, using the initial assessment outcomes as guidance, to determine which applications will be successful. The Assessment Panel can allocate funding up to the budgeted amount.
- 5.2.4 The Assessment Panel for SPs will, at a minimum, comprise of two representatives made up from the following:
 - a) One (1) CN Employee with subject matter expertise;
 - b) One (1) CN Service Unit Manager (or delegate);
 - c) One (1) CN Director (or delegate);
 - d) Lord Mayor (or delegate).
- 5.2.5 In addition to the Assessment Panel outlined in 5.2.4, the Assessment Panel for the TEDSP will also consist of the Chair of the CN Strategy and Innovation Advisory Committee (or Delegate).
- 5.2.6 Where a decision from the panel is unable to be reached or additional guidance is required, applications will be referred to the three Councillors of the CN Strategy and Innovation Advisory Committee for a decision.

- 5.2.7 Even if an application meets all the eligibility and Assessment Criteria, it may not be supported. Assessors may consider other available information regarding the applicant, its services and Activities including details/outcomes of previous Activities.
- 5.2.8 The outcome of the Panel's assessment will be recorded and retained in CN's records management system.
- 5.3 Notification of outcomes, Sponsorship Agreements and payments:
- 5.3.1 All applicants will be notified of the outcome of their application.
- 5.3.2 Successful applicants will be required to complete a Sponsorship Agreement. The Sponsorship Agreement will include conditions and reporting requirements in exchange for funding. Certain special conditions may be placed upon your funding at the Assessment Panels discretion, these will be negotiated in consultation with you.
- 5.3.3 Awarding of Sponsorship from CN via a Sponsorship Agreement in no way implies any ongoing funding commitment or obligation by CN including for payments for works (including maintenance) delivered outside of the financial year in which the Activity was agreed to be completed.
- 5.3.4 Awarding of a Sponsorship Agreement does not imply that CN has given any other consent. Applicants should note that many Activities require approvals and consents from CN, NSW Police and other state government agencies and that they are wholly responsible for obtaining such approvals. The failure to obtain approvals will void the Sponsorship Agreement and may in result in funding being revoked even where works have been completed.
- 5.3.5 Upon submitting the Sponsorship Agreement along with a Tax Invoice and copies of relevant insurances your payment will be released into your nominated bank account.
- 5.3.6 In accordance with A New Tax System (*Goods and Services Tax*) Act 1999 (Cth), if entities do not have an Australian Business Number (ABN), CN may be required to withhold 49% of any funds allocated.
- 5.3.7 All financial information provided should be exclusive of GST. Successful entities that are registered for GST will receive the allocated funding amount plus GST.
- 5.3.8 CN will require all successful recipients to publicly acknowledge CN as a Sponsor of the Activity. This requirement will be included in the Sponsorship Agreement and evidence will be requested in the Acquittal Report.
- 5.3.9 Table 1 below details the quote requirements for any goods/services the applicant intends to procure as part of the proposed Activity. This can include a catalogue item or quote from a provider. In addition to the quote requirements, an applicant may be asked to provide rationale about why a quote was chosen if it is not the cheapest option (e.g. experience, previous knowledge).
- 5.3.10 CN reserves the right to determine the value for money of quotes provided during the assessment process.

Table 1: Quote requirements

Value of Goods/Services	Quote Requirement
Under \$3,000 (inc. GST) for capital purchases including equipment and infrastructure works	One written quote required
\$3,000 and above (inc. GST) for capital purchases including equipment and infrastructure works	Two written quotes required
Consultancy/Contractor fees of any value (includes works requiring licensed tradespersons)	Two written quotes required
Services provided by applicant	Hourly rate to be provided and must not exceed capped resource rates

* Note – For items where quotes are not specifically requested, a well-researched and realistic budget, clearly indicating what CN funds would be spent on and the sources and application of matching contributions is required.

5.4 Delivery of Sponsored Activity

- 5.4.1 Delivery of the agreed Activity must occur within the timeframe listed in the Sponsorship Agreement.
- 5.4.2 If a successful recipient requires a variation to either the Activity or the delivery time, a variation request must be submitted. See section 11 for further details.
- 5.4.3 All CN Sponsorships are provided as cash. No Value In Kind arrangements will be made. If an application includes CN venue hire or licencing fees, it is the applicant's responsibility to budget accordingly for all items using CN fee schedule or via correspondence with the relevant CN Officer. If successful, Sponsorship funding can be used for CN venue hire, however, this will be charged at the market rate as per the published CN Fees and Charges. Please contact us at mail@ncc.nsw.gov.au or phone 02 4974 2000 for details on fees and charges.

5.5 Acquittal Report:

- 5.5.1 Successful applicants must provide a final Acquittal report to CN within 45 days of Activity completion.
- 5.5.2 The information required will be specified in the Sponsorship Agreement and may include:
 - a) Final accounts (audited, if appropriate).
 - b) Evidence of how CN was acknowledged during the Activity.
 - c) An assessment of the outcomes realised against the outcomes anticipated or estimated in the application form.
 - d) Formal advice of funds not spent (funds not expended for the purpose outlined in the application must be returned to CN).

6 Privacy

- 6.1 CN pledges to respect and uphold applicant rights to privacy protection under the Australian Privacy Principles (APPs) as established under the *Privacy Act 1988* (Cth) and amended by the *Privacy Amendment (Enhancing Privacy Protection) Act 2012* (Cth). Refer to CN's [Privacy Management Plan](#) for further information.

Part C

Sponsorship Programs

Table 2: Sponsorship Programs Overview

Program	Overview	Streams	Amount per Application	Eligible Entities
Events	Event Sponsorships are a mechanism to: <ul style="list-style-type: none"> - promote active and vibrant public spaces - grow overnight visitation - provide positive promotional exposure for Newcastle - enhance the City's image and profile as a visitor destination and event city - assist events that contribute to the unique character of the Newcastle LGA and region. 	General Events	Up to \$10,000	<ul style="list-style-type: none"> • A legally constituted not-for-profit organisation. • A business.
		Major Events	\$10,000 – \$20,000 *+\$5,000 seed funding for new events only	
		Regional Sporting Events		
		Business Events	\$5,000 – \$20,000	
Major Event Development	Program is allocated to identify, attract, secure, grow, and promote major events for Newcastle. This includes events of significant size that provide high numbers of out of region visitors, enhance Newcastle as a destination, and drive substantial economic return for the City.	Major Event Development	Dependant on application	<ul style="list-style-type: none"> • This is a closed program and only organisations that are invited to apply can seek funds.
Tourism and Economic Development	Tourism and Economic Development Sponsorship are for activities that provide economic benefit through one or more of the following areas: <ul style="list-style-type: none"> - Enabling Skills - Enabling Innovation - City-Shaping Initiatives - Enabling a Vibrant City 	Tourism	\$2,000 – \$20,000	<ul style="list-style-type: none"> • A legally constituted not-for-profit organisation. • A business.
		Business		

- 6.2 Timelines
- 6.2.1 Sponsorships are delivered as annual programs. Opening and closing dates of the contestable rounds will be advertised on the CN website.
- 6.2.2 Applicants may request a multi-year agreement of up to two years (three years for MEDP), as determined by CN, based off demonstration of delivery, alignment with CN strategic outcomes, and delivery of economic outputs.
- 6.3 Successful Sponsorship recipients are required to:
- 6.3.1 Complete their Activity within the same financial year as the funding is provided (unless otherwise stated in Sponsorship Agreement).
- 6.3.2 Meet all obligations of the Sponsorship Agreement.
- 6.3.3 Provide final Acquittal report within 45 days of completion of Activity.
- 6.4 Failure to acquit the funding will affect final payments under the agreements and any future requests for funding.

7 Events

- 7.1 Overview
- 7.1.1 The Event Sponsorship Program (ESP) is an annual program providing a mechanism to assist events that contribute to the unique character of the Newcastle LGA, promote economic activity, and contribute to vibrant and active public spaces.
- 7.2 Details
- 7.2.1 Four different streams are publicly available within the ESP as detailed in Table 3 below.

Table 3: Event Sponsorship Streams

Stream	General	Major	Regional Sport	Business
Objective	Support for events that contribute to a varied and diverse events calendar for the city, including alignment with strategic outcomes, generation of economic Activity, and utilisation of city assets.	Supports the emerging and established events to increase profile and encourage visitation and/ or participation. Events to be of significant size, with high levels of attendance or economic/visitation outcomes and extensive reach.	Targets events that utilise Newcastle and the broader region as a host city for high participation multi day Regional, State, National, or International sporting events.	Supports high yield multi-day visitation and overnight stays through events that promote Newcastle as an event and destination city.

Stream	General	Major	Regional Sport	Business
Eligible Entities	<ul style="list-style-type: none"> • A legally constituted not-for-profit organisation. • A business 			
Additional Eligibility Requirements	<ul style="list-style-type: none"> • The event must be accessible for the general public to attend. • Free/Token entry 	<ul style="list-style-type: none"> • The event must be accessible for the general public to attend • Preference for multi-day events, and those that provide significant economic outcomes for the region 	<ul style="list-style-type: none"> • The event must be accessible for the general public to attend 	<ul style="list-style-type: none"> • Event duration of three day/ two night minimum • Minimum 150 delegates with majority of delegates (minimum 80%) requiring overnight accommodation
Ineligible Applications	<ul style="list-style-type: none"> • Regular (weekly/monthly) community events such as markets and bazaars, local sports meets, club gatherings, classes, workshops etc. • Community public holiday celebrations such as ANZAC Day, Australia Day, Queens Birthday if the holiday is the primary focus. Events will be considered if the holiday is not the focus (e.g. a food or music festival). • Promotional events (i.e. where marketing a specific product/company is the principle objective). 			
Amount Per Application	<ul style="list-style-type: none"> • Up to \$10,000 (ex GST) 	<ul style="list-style-type: none"> • \$10,000 - \$20,000 (ex GST) +\$5,000 seed funding for new events only 		<ul style="list-style-type: none"> • \$5,000 - \$20,000 (ex GST)
Basic Assessment Criteria	<p>A. Alignment to CN Priorities: the degree to which the event addresses CN's priorities from the Community Strategic Plan (CSP), Economic Development Strategy (EDS), Destination Management Plan (DMP), and Events Plan (EP). 20%</p> <hr/> <p>B. Event visitation and promotion: the extent to which the event does/will attract visitation from outside of Newcastle LGA, the ability of the event to meet minimum attendance/delegate threshold levels and the extent to which the event promotes Newcastle as an event and destination city through coverage and promotion at regional, state and national levels. 15%</p> <hr/> <p>C. Collaboration and partnerships: the extent to which the proposed event demonstrates constructive and cooperative relationships between the applicant, CN, potential partners and other community stakeholders. 15%</p> <hr/> <p>D. Delivery and operational capability: ability to demonstrate the delivery of project outcomes can occur on time and within budget. 15%</p> <hr/> <p>E. Value with public money: the ability to demonstrate value for money through careful consideration of costs, benefits, options and risk. Funding co-contributions from applicant and partner organisations are encouraged. 15%</p>			

Stream	General	Major	Regional Sport	Business
Additional Assessment Criteria	Event Concept: the strength of the event concept, its alignment to the character and culture of the location and the ability of the event to fill a gap in the current event landscape (20%)	Commercial Merit: the extent to which the event contributes economically to the City, including, but not limited to the use of local suppliers and the number of attendees (20%)	Visitation Outcomes: the number of attendees attracted to the event from outside of region, including estimated overnight stays and point of origin (20%)	Economic Impact: the extent to which the event contributes economically to the City, including, but not limited to: the use of local suppliers, the number of attendees/delegates, the promotion of Newcastle as an event and visitor destination. (20%)
Applicant Contribution	Minimum 50% contribution from applicant. Funding provided on a dollar for dollar cash basis. Value In-Kind will only be accepted from not-for-profit organisations.			
Examples	Event with local attendees with CN community recognition.	Attracts local, interstate and national attendees.	Sporting event attracting intrastate attendees.	Conference or convention preferably with interstate and national attendees.

8 Major Event Development

8.1 Overview

- 8.1.1 The Major Event Development Program (MEDP) is a multi-year program providing function for CN to identify, attract, secure, develop and promote significant events for Newcastle.
- 8.1.2 This differs from the Major Events stream in the Events Program as the MEDP is a discretionary program, that enables CN to work with major event organisers, national/international promoters, state and federal government bodies, and state/national/international sporting bodies to attract and secure events in Newcastle.
- 8.1.3 Major events that would be invited are usually one off, high profile events with national and international attendees, promotion, and audience, therefore attracting significant tourism and economic benefits. They can be subject to a bidding process and include state or federal funding and/or significant private Sponsorship.
- 8.1.4 Event planning, organisation and implementation will include professional event organisers and a host of marketing and other specialists. The lead time for major events will be 2-3 years. The event would be expected to occur over multiple days and attendance would exceed 20,000 people.
- 8.1.5 These events can also include collaboration with other government bodies including surrounding local governments or contributing state government bodies.
- 8.1.6 Due to the varied nature of events that may be invited under this program, invitation and assessment are based off the review by CN subject matter experts, with a recommendation in regard to the extent of support provided for approval to the Assessment Panel.

8.2 Details

Table 4: Major Event Development Sponsorship

Major Event Development Program	
Objective	MEDP is a discretionary program, that enables CN to work with major event organisers, national/international promoters, state and federal government bodies, and state/national/international sporting bodies to attract and secure events in Newcastle.
Eligible Entities	<ul style="list-style-type: none"> • A legally constituted not-for-profit organisation. • A business
Amount Per Application	Dependant on application
Base Assessment Criteria	<p>A. Alignment to CN Priorities: the degree to which the event addresses CN's priorities from the Community Strategic Plan (CSP), Economic Development Strategy (EDS), Destination Management Plan (DMP), and Events Plan (EP). 20%</p> <p>B. Event visitation and promotion: the extent to which the event does/will attract visitation from outside of Newcastle LGA, the ability of the event to meet minimum attendance/delegate threshold levels and the extent to which the event promotes Newcastle as an event and destination city through coverage and promotion at regional, state and national levels. 15%</p> <p>C. Collaboration and partnerships: the extent to which the proposed event demonstrates constructive and cooperative relationships between the applicant, CN, potential partners and other community stakeholders. 15%</p> <p>D. Delivery and operational capability: ability to demonstrate the delivery of Activity outcomes can occur on time and within budget. 15%</p> <p>E. Value with public money: the ability to demonstrate value for money through careful consideration of costs, benefits, options and risk. Funding co-contributions from applicant and partner organisations are encouraged. 15%</p>
Additional Assessment Criteria	Economic Return: the ability to demonstrate promotion of positive economic Activity in Newcastle, as determined through external visitation, coordination with business areas, spending through local suppliers and activation of place. (20%)
Examples	Significant events that promote a high level of visitation and economic activity in the city, including those that have visibility on a national and international scale. Including national/international sporting competitions, major touring art commissions, and national cultural festivals.

9. Tourism and Economic Development

9.1 Overview

9.1.1 The Tourism and Economic Development Sponsorship Program (TEDSP) is an annual program that provides Sponsorship for suitable Activities that provide economic benefit through one or more of the following areas:

- a) Enabling Skills
- b) Enabling Innovation
- c) City-Shaping Initiatives
- d) Enabling a Vibrant City

9.2 Details

9.2.1 Two different streams are available within the TEDSP.

Table 5: Tourism and Economic Development Sponsorship Streams

Stream	Tourism / Visitor Economy	Business
Objective	Supports Activities that promote Newcastle as a premier Australian visitor destination, showcasing a rich art, cultural and culinary scene, a vibrant night-time economy, and accessible nature-based and coastal experiences.	Aims to foster local economic development by supporting Activities that enable local skill acquisition, attract highly skilled people to the city, support local business growth and employment and/or encourage innovation and investment.
Eligible Entities	<ul style="list-style-type: none"> • A legally constituted not-for-profit organisation. • A business 	
Ineligible Applications	The purchase of capital equipment, furniture/fittings, travel, salaries or expenses.	The purchase of capital equipment, furniture/fittings, travel, salaries or expenses.
Amount per Application	\$2,000 - \$20,000 (ex GST)	
Base Assessment Criteria	<p>A. Alignment to CN Priorities: the degree to which the event addresses CN's priorities and actions from the Community Strategic Plan (CSP). 15%</p> <p>B. Alignment to Economic Development Strategy (EDS): the degree to which the Activity addresses CN's priorities and actions from the EDS. 15%</p> <p>C. Collaboration and partnerships: the extent to which the proposed Activity demonstrates constructive and cooperative relationships between the applicant, CN, potential partners and other community stakeholders. 15%</p> <p>D. Innovation: the extent to which the proposed Activity incorporates new methods, ideas or products to support long term benefits for industry, population groups and/or the City. 15%</p> <p>E. Delivery and operational capability: ability to demonstrate the delivery of Activity outcomes can occur on time and within budget. 10%</p> <p>F. Value with public money: the ability to demonstrate value for money through careful consideration of costs, benefits, options and risk. Funding co-contributions from applicant and partner organisations are encouraged. 10%</p>	

Stream	Tourism / Visitor Economy	Business
Additional Assessment Criteria	<p>Promotion of Newcastle as Visitor Destination: the extent to which the Activity will:</p> <ul style="list-style-type: none"> attract visitation outside of Newcastle LGA, and promote Newcastle as a destination city through coverage and promotion at regional, state and national levels. (20%) 	<p>Economic Impact: the extent to which the Activity contributes to local skill acquisition, the attraction of people to the city or an initiative that promotes new innovation/ investment. (20%)</p>
Applicant Contribution	<p>Minimum 50% contribution from applicant. Funding provided on a dollar for dollar cash basis. Value In-Kind will only be accepted from not-for-profit organisations.</p>	
Examples	<p>Multi-day interstate conference.</p>	<p>Workshops, forum, symposium.</p>

10 Ad Hoc Sponsorship

- 10.1 Process
 - 10.1.1 Ad hoc Sponsorship may be offered by CN to meet a specific need, often due to an urgent matter or other circumstances. These Sponsorships are typically available to a select range of applicants and are not ongoing.
 - 10.1.2 As per the Sponsorship Policy, the CN Director may determine to allocate a portion of the total funding available each financial year (along with any unexpended or returned funds) for ad hoc applications outside the competitive round detailed in these Guidelines.
- 10.2 Ad hoc Sponsorship opportunities may be:
 - 10.2.1 Open – these opportunities will be published on the CN website and all eligible applicants will be able to apply.
 - 10.2.2 Closed – applications will be received or requested by invitation only to targeted cohorts in line with CN's strategic priorities.
- 10.3 Assessment Criteria
 - 10.3.1 Applications for ad hoc Sponsorship will be assessed from the most relevant program. Further criteria may be used and, if so, these will be included in guidance material.
 - 10.3.2 Applications for ad hoc Sponsorship will be assessed by the Assessment Panel from the most relevant program as defined in section 5.2.4.

11 Variation Requests

- 11.1 A Sponsorship variation is a change to a Sponsorship. Variation requests are categorised as:
 - 11.1.1 Funding Period Variations: changes to the Funding Period due to a delayed start date, a delay during the Sponsorship, a change to the end date, and/or changes to the Project team.
 - 11.1.2 Activity Variations: Change to the scope of Activity including changes to budget allocations, redirection of funds and changes in outputs.
- 11.2 There are specific circumstances where it is appropriate for a CN Sponsorship to be varied. CN Sponsorships are awarded following rigorous assessment of an application and accordingly any proposed variations need to be reviewed and approved by the relevant CN Service Unit Manager.
- 11.3 CN will consider each request to vary a Sponsorship relative to the following:
 - 11.3.1 the individual circumstances outlined in the variation request.
 - 11.3.2 the Guidelines under which the Sponsorship was applied for.
 - 11.3.3 the best outcomes for the Sponsorship against its aims and objectives.
 - 11.3.4 whether the Sponsorship will continue to align with the purpose of the Sponsorship opportunity.
 - 11.3.5 whether the Sponsorship will continue to achieve value with relevant public money.
 - 11.3.6 any other matters of which CN is aware relevant to the Sponsorship or the recipient.
- 11.4 Variation requests that contradict the eligibility criteria of the SP will not be accepted. For example, if an eligibility criterion was the exclusion of capital expenditure, the variation will be rejected if it involves capital purchases.
- 11.5 A variation request must be submitted to CN via CN's Grant management system at least six weeks before the proposed date of effect to allow adequate time for review.
- 11.6 To receive access to the variation request form, please contact us on (02) 4974 2000 or email Sponsorship@ncc.nsw.gov.au.

Annexure A – Definitions

Addictive Drug means any substance listed in the Therapeutic Goods Administration Poisons Standard or listed as a prohibited drug at Schedule 1 of the Drug Misuse and *Trafficking Act 1985 (NSW)*.

Acquittal is a report submitted as per a Funding Agreement at the conclusion of a project detailing how the recipient administered the Grant funds and met the Activity outcomes in the Funding Agreement.

Activity is defined as one-off or time-limited task/undertaking or series of linked tasks/undertakings with specific goals and conditions, defined responsibilities, a budget, planning, information about the parties involved and a specific start date and end date. This can also be referred to as a **Project**.

Assessment Criteria means the method used to evaluate an application.

Assessment Panel means the panel assessing applications and determining Grant Funding.

Auspice is an incorporated organisation that receives, administers, and acquits Grants on behalf of an applicant.

Business is an entity engaged in commercial, professional, charitable or industrial Activities. A Business can refer to:

- **Company** is defined by the Corporations Act 2001 (Cth) and registered with Australian Securities and Investment Commission (ASIC). Companies must be registered in Australia to be eligible to apply.
- **Company Limited by Guarantee** is a Company with liability limited to the guarantees put in place by its members. This is a common structure used by the not-for-profit sector. Cooperative.
- **Cooperative** is an organisation owned, controlled by and used for the purpose of benefiting its members.
- **Incorporated Association** is an association that has been incorporated in accordance with the requirements of the Associations Incorporation Act 2009 (NSW).
- **Indigenous Corporation** is established under the Corporations (Aboriginal and Torres Strait Islander) Act 2006 (Cth).
- **Proprietary Limited Company** is a proprietary limited company (abbreviated as 'Pty Ltd') is a Business structure that has at least one shareholder and no more than 50 non-employee shareholders, where the liability of shareholders is limited to the value of shares.

City of Newcastle (CN) means Newcastle City Council.

CN employees means persons employed by the City of Newcastle who is duty-bound to follow the policies and procedures of CN.

Community Events are staged largely for social, fun and entertainment value for the local community. They are targeted primarily at a local audience but may attract from outside the region thereby providing some economic, social and cultural benefits. They may have some wider regional benefits but to a lesser extent than major events.

Community Strategic Plan (CSP) represents the highest level of strategic planning undertaken by CN. It identifies the main priorities and aspirations of our community and provides a clear set of strategic directions to achieve the community's vision.

A non-distributing cooperative is one that uses surplus funds to support its activities and cannot distribute to members (not-for-profit).

A distributing cooperative may distribute any surplus funds to its members.

Council means the elected Council.

Funding Agreement means the agreement entered into by CN and the successful applicant for the cash support. It will articulate support provided by CN as a financial contribution for the development and delivery of a quality Activity. The Agreement will also detail Acquittal and acknowledgement conditions for the funding.

Grant is the financial support provided to applicants for an Activity. A Grant seeks a nominal return on investment from the benefits provided the community. Benefits may include improvement in the quality of life for the community from Activities meeting identified needs.

Guidelines means the specific CGPs conditions and criteria for each separate Grant opportunity to be read in conjunction with the Community Grants Policy.

Not-for-profit organisation is an organisation that does not directly operate for the profit or gain of its owners, members or shareholders, either directly or indirectly. The organisation must be registered with the Australian Securities & Investment Commission (ASIC) or The Australian Charities and Not for Profit Commission (ACNC).

Partnership is a contractual relationship between persons carrying on business with a view to profit. Partnerships can be 'normal' (unregistered), limited or incorporated and limited (both registered on the Register of Limited Partnerships and Incorporated Limited Partnerships, administered by NSW Fair Trading).

Project see Activity.

Registered Charity with the Australian Charities and Not-for-profits Commission.

Socially Harmful Activity includes any activity involving the abuse of human rights or labour rights, bribery, corruption, production or supply of armaments, manufacture, distribution and wholesaling of alcohol, tobacco or nicotine related products, gambling products or services, pornography, the trade of fur or other illegal wildlife trade, abuse of animal welfare, live animal entertainment and any other activity which CN reasonably considers may pose a socially harmful activity.

Special Business Rate are funds collected from city precinct businesses for the promotion, beautification and development of the precincts, and awarded through a competitive application process.

Sponsorship Agreement means the agreement entered into by CN and the successful applicant for the cash support. It will articulate support provided by CN as a financial contribution for the development and delivery of a quality Activity. The Agreement will also detail acquittal and acknowledgement conditions for the Sponsorship.

Sponsorships are commercial agreements in exchange for a benefit(s). Sponsorship is not philanthropic with the sponsor expecting a benefit (return on investment) as agreed in a sponsorship agreement.

Value-in-kind refers to goods or services provided by other supporters of the Activity that has a real value for the Activity.

Unless stated otherwise, a reference to a section of clause is a reference to a section or clause of this Guideline.

Annexure B – Policy Authorisations

Function	Position Number / Title
Determine and approve weightings for Assessment Criteria	Service Unit Manager (or delegate)
Acquittals in line with Funding Agreement	Service Unit Manager (or delegate)
Approve Activity variations	Service Unit Manager (or delegate)
Execute Funding Agreements to approved Grants consistent with the Assessment Panel's recommendation and in accordance with this Policy	Service Unit Manager (or delegate)
Review and approval of Grant Guidelines (annually)	Director (or delegate)
Approve grants on behalf of the elected Council (<i>under s377 of the Local Government Act 1993 (NSW)</i>).	Director (or delegate)
Assess and approve ad-hoc applications	Director (or delegate)
Assess applications and determine funding allocation	Assessment Panel
Approve Funding Value variations	Assessment Panel

Document Control

Guideline title	Sponsorship Guidelines
Guideline owner	Manager Community Strategy and Innovation
Guideline expert/writer	Grants and Sponsorship Officer
Prepared by	Community Strategy and Innovation
Approved by	-
Date approved	To be completed by Legal
Commencement Date	To be completed by Legal
Next revision date	Date the guideline is due for revision
Termination date	1 year post revision date
Version	Version #1
Category	Administration
Keywords	Sponsorship, Event, Tourism
Details of previous versions	Nil.
Relevant strategic direction	Vibrant and Activated Public Places
Relevant legislation/codes (reference specific sections)	This policy supports CN's compliance with the following legislation: <ul style="list-style-type: none"> • <i>Local Government Act 1993</i> (NSW)
Related policies/documents/ strategies	Sponsorship Policy Cultural Strategy
Relevant strategy	Newcastle 2030 – Community Strategic Plan Economic Development Strategy
Related forms	N/A
Authorisations	Functions authorised under this policy at Annexure B.

