Count Us In

Newcastle

Grants Guidelines

2023

**Guidelines May 2023**

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**City of Newcastle’s (CN) Count Us In (CUI) Grant Program provides funding opportunities to support initiatives focused upon disability inclusion. The CUI program window is 4 September to 24 September, 2023.**

**Offers of financial support via these grants seek to demonstrate that disability inclusion is enhanced through partnerships, codesign and direct delivery by people with disabilities.**

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# Part A Preliminary

### Background

* 1. City of Newcastle’s (CN) Count Us In (CUI) grants provide a funding opportunity supporting initiatives that contribute to social inclusion related to disabilities. Grant applications will focus upon deliverables in the fields of cultural, environmental, events, sporting, employment, training, volunteering and/or economic life of the city. Capacity building activities will also be considered along with initiatives addressing attitudes and behaviours related to disability inclusion. CUI grants support a diverse range of activities/initiatives and are a powerful way of responding to local needs and delivering outcomes that CN, on its own, may not be able to provide.
	2. CN Grants generally are highly competitive. To submit an eligible and competitive application we recommend you read the Community Grants Policy, in conjunction with these Guidelines. Feel free to contact us prior to submission to discuss your application.

### Purpose

* 1. The purpose of CN’s CUI grants is to fund Activities that contribute to CN’s vision and priorities, which are detailed in Newcastle 2040: Community Strategic Plan (CSP), specifically to create a more inclusive Newcastle.
	2. These Guidelines provide specific instructions in making an application for CUI grants, however if you have any specific individual requirements that we can reasonably assist with to better facilitate your application, please contact us on (02) 4974 2863.

### Scope

* 1. These Guidelines apply to all aspects of CN’s CUI grants, including application processes, decision making, Funding Agreements and Activity Acquittal.

# Part B

# Count Us In grants

### General Eligibility

* 1. All applications must meet the eligibility criteria in order to be considered for funding. Ineligible applications will not progress to assessment.
	2. The eligibility criteria common to all of CN’s Grants are listed below. CUI grants also has specific eligibility criteria, which must be met and these are detailed in section 7 of the Guidelines.
	3. Common eligibility criteria is:
		1. Applicants must operate within the Newcastle Local Government Area and/or be able to demonstrate that the Activity will directly benefit residents of the Newcastle Local Government Area ;
		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;
		3. Applicant’s Activity must be delivered within the CUI program window 4 – 24 September 2023;
		4. Funding for retrospective, recurrent or ongoing funding will not be considered;
		5. The Activity is consistent with CN's Community Strategic Plan and United Nations Sustainable Development Goals.
		6. Applicants must have the appropriate level of insurance for the Activity that is the subject of the funding request. CN has a minimum requirement for $20m Public Liability Insurance. For some CUI grant applicants this may create a barrier and you may wish to consider partnering or aligning your activity with another organisation to manage this risk. Any other relevant insurances must be provided at the application stage and may include workers compensation, volunteer insurance, professional indemnity insurance or any other insurance relevant to the proposed Activity*.*
		7. Applicants must be capable of obtaining all regulatory approvals for the Activity including those required from CN applicable for the proposed Activity, e.g. event application if held in a public space or of a certain size and be delivered in a COVID safe manner consistent with the current (at that time) NSW Public Health Orders.
		8. Successful applicants must undertake NSW related ‘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. Ineligible applications – CN does not provide Grants for:
		1. Activities that duplicate existing services or current Funding Agreement 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;
		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;
		3. Profit making Activities where the profits are allocated to shareholders, owners and/or members, except for NDIS providers and social enterprises.
		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;
		5. Applications seeking funds for prize money, gifts or awards or general fundraising appeals including those seeking funding for representative sport or cultural activities;
		6. Fees and charges associated with compliance or development applications payable to CN.
	5. The following entities or individuals are not considered by CN as suitable for Funding Agreements, including those:
		1. Involved in any Socially Harmful Activity and/or manufacture, distribution and wholesaling of an Addictive Drug;
		2. Found guilty of illegal or improper conduct by the Independent Commission Against Corruption (ICAC) or any similar authority;
		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. Involved in political fields or affiliations, eg political parties;
		5. Other local, state or federal government departments and agencies;
		6. Involved in a competitive tender or purchasing process for the same Activity, at/ or around the time of negotiating a Grant or other Funding Agreement;
		7. Record of unsatisfactory Acquittal of prior Grant, Sponsorship or other Funding Agreement with CN;
		8. Record of outstanding debt with CN;
		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.

### Grants Process

Applications

Assessment, Funding

Recommendations, Approval

Notification of outcomes, Funding Agreements and Payment

Delivery of Funded Activity

Acquittal Report

* 1. Applications:
		1. All applications must be made online through CN’s online Grant management system - <https://newcastle.smartygrants.com.au/>.
		2. Computers can be booked at all CN library branches and CN officers can assist in the online application process.
		3. Multiple applications from one entity will be considered where proposals relate to separate Activities.
	2. Auspicing
		1. CN accepts applications from organisations that are providing 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 called ‘auspicing’.
		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.
		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.
	3. Assessment & Funding Recommendations:
		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.
		2. All eligible applications undergo an initial evaluation against the Assessment Criteria. This is completed by relevant CN Officers with appropriate knowledge and expertise in the Program being assessed.
		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 Director (or delegate);
			+ One (1) independent representative from Advisory Committee with lived experience of disability;
			+ Lord Mayor (or delegate).
		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. 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.
		6. The outcome of the Panel’s assessment will be recorded and retained in CN’s records management system.
		7. Determinations of the Assessment Panel are final, and no further discussions will be entered into.
	4. Delivery of funded activity:
		1. Delivery of the agreed Activity must occur within the timeframe listed in the Funding Agreement.
		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. Notification of outcomes, Funding Agreements, and payments:
		1. All applicants will be notified of the outcome of their application.
		2. Successful applicants will be required to review and sign 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.
		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.
		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. 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.
		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.
		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.
		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.
		9. Estimates of goods/services that the applicant intends to procure as part of the proposed Activity should be stated in the activity budget. The Assessment panel will consider value for money as part of the assessment and detailing identified and specific aspects of spending may benefit a better understanding of the application.
	6. Acquittal Report:
		1. Successful applicants must provide a final Acquittal Report to CN within 45 days of Activity completion.
		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).

* 1. Project Budget

Whilst these are small grants, they are still public monies and as such a well-researched realistic budget, clearly indicating what CN funds would be spent on and the other sources of funding to support the application is required.

Funding support for your proposed initiative from sources other than the CN grant that you are applying for, and in-kind contributions may indicate that there is good value for money for CN to support your application.

### Privacy

* 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](https://www.newcastle.nsw.gov.au/Newcastle/media/Documents/Strategies%2C%20Plans%20and%20Policies/Plans/Privacy-Management-Plan-2018-adopted-by-Council-on-11-Dec-2018.pdf) for further information.

# Part C

**Grant Allocation**

##### Table 1: CUI Grant Program Overview

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Program** | **Overview** | **Funded Activity** | **Amount per Application** | **Eligible Entities** |
| **Count Us In** | Deliver events/activities that promote social inclusion related to disability in Newcastle during the CUI program window 4-24th September 2023. | Events, activations, activities, training, other. | Between $500 and $2000 (non gst) | * Legally constituted not-for-profit organisations
* Businesses
* Individuals
 |
| **Grants** |  |

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### CUI Specific Eligibility

* 1. Specific Eligibility-To be addressed along with compliance of Part B Section 4 General Eligibility-
		1. The funded activity must be delivered between the 4-24 September 2023
		2. The Activity must be free to participate in
		3. The Activity must relate to demonstrating disability Inclusion, and represent People with Disabilities in a dignified and respectful way
		4. The Activity must consider how people with disabilities will participate/be included
		5. The applicant agrees to have their Activity promoted as part of the Program unless specific agreement is made with CN to not promote activity due to acknowledged sensitivity of the activity.
		6. The Activity represents value for money, including consideration of the number of people potentially reached by the program.
		7. 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
		8. Must not be for the purchase of equipment or items that are related more to the longer term needs of the activity than the CUI program window.
1. **Outcomes**

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

1. Enhanced social, cultural, economic or sustainability outcomes for local communities/individuals related to disability inclusion.
2. Increased engagement/exposure of individuals and target groups to sporting, cultural, employment or training activity or event.
3. Increased visibility and understanding of the history, stories and character of the lived experience of people with disabilities, preferably as it relates to Newcastle.
4. Improved identification, protection, knowledge and understanding of the rights of People with Disabilities.
5. Increased opportunities for performers/artists with disabilities to deliver and audiences to access live music, arts, cultural and performance activity of people with disabilities.
6. Improved organisational ability to respond more effectively to the needs of the community and diversity of disabilities.

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**9**

**Assessment Criteria-% weighting.**

Alignment to CN Priorities such as social Inclusion, how the Activity creates, demonstrates or progresses disability awareness and/or inclusion of people with disabilities/carers and/or general community. Highlights the diversity of disabilities and the diversity of people with disabilities.

30%

Capacity building and sustainability/ongoing impact: the extent to which the proposed Activity can contribute to the continuation of the activity in a sustainable way, is there a legacy or is it specifically one off without any likelihood of being repeated without further support.

10%

Delivery: demonstrated ability by the applicant that they can deliver the Activity on time, to an appropriate standard, in an inclusive way and within the proposed budget.

20%

Value for public money: the ability to demonstrate value for money through careful consideration of costs, benefits, options, level of reach/participation/audience and risk. Funding co-contributions from applicant and partner organisations including in-kind contributions. 20%

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 Unique aspect of Activity, merit/potential contribution to the program. 20%

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### 10 Variation Requests

* 1. A Grant variation is a change to a Grant. Variation requests are categorised as:
		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.
		2. Activity Variations: Change to the scope of an Activity including changes to budget allocations, redirection of funds and changes in outputs.
	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, Funding Period, Budget or Funding Value need to be reviewed and approved. Please notify CN as soon as possible at grants@ncc.nsw.gov.au regarding any changes to the Activity, Funding Period or Budget as this will need to be approved by the Service Unit Manager (or delegate).
	3. CN will consider each request to vary a Grant relative to the following:
1. the individual circumstances outlined in the variation request;
2. the Guidelines under which the Grant was applied for;
3. the best outcomes for the Grant against its aims and objectives;
4. whether the Grant will continue to align with the purpose of the Grant opportunity;
5. whether the Grant will continue to achieve value with relevant public money;
6. any other matters of which CN is aware relevant to the Grant or the recipient.
	1. Any variation requests must still be consistent with the eligibility criteria of the [Community Grant Program](https://www.newcastle.nsw.gov.au/Newcastle/media/Documents/Grants%20and%20Sponsorships/Community-Grants-Guidelines.pdf).
	2. A variation request form is available via 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 require- ments 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.

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**Guidelines** means the specific CGPs conditions and criteria for Count Us In 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.

**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)

Approve Activity variations Service Unit Manager (or delegate)

Acquittals in line with the Funding Agreement 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

*Local Government Act 1993* (NSW)).

Director (or delegate)

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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 Count Us In Grants Guidelines**

**Guideline owner Community Planning and Development**

**Guideline expert/writer** Manager, Community Planning and Development

**Prepared by** Grants and Sponsorship Officer

**Approved by** Director

**Date approved** To be completed by Legal

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**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** Liveable-Connected, Inclusive & Equitable Communities

##### Relevant legislation/codes (reference specific sections)

This policy supports CN’s compliance with the following legislation:

* *Local Government Act 1993* (NSW)

**Related policies/documents/ strategies** Community Grants Policy

**Relevant strategy** Newcastle 2040 – Community Strategic Plan

Disability Inclusion Action Plan 2022-2026

**Related forms** Related forms if applicable

**Authorisations** Functions authorised under this policy at Annexure B.

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