

# Murihiku Rūnaka and Rio Tinto / NZAS Community Development Fund

## Funding Guide

April 2023



## Disclaimer

We've made every effort to ensure that this guide is clear and accurate, the information it contains is general guidance and does not constitute legal advice. In the event of any uncertainty please ask.

You can email [Community.Fund@riotinto.com](mailto:Community.Fund@riotinto.com). We welcome your questions.

## About this guide

This guide is for individuals or groups who are requesting funding from the Murihiku Rūnaka and Rio Tinto / NZAS Community Development Fund (the Fund). It outlines eligibility and assessment criteria, provides an overview of the application and funding processes, and sets out the information that you will be asked to supply.

## Objective

The purpose of the Fund is to acknowledge Ngāi Tahu and Murihiku Rūnaka who hold rangatiratanga over the Ngāi Tahu takiwā including the Tiwai Peninsula, and to support investment in a sustainable and positive future for mana whenua and the wider community.

Applicants must read through the Fund Guidelines to determine their eligibility to apply.

Applicants must ensure they:

- Offer a project that has the opportunity to partner with NZAS and Murihiku Rūnaka and meets the Focus Areas for the Fund;
- Clearly outline the benefits and outcomes to be achieved and how these will be measured both during and beyond the project;
- Can demonstrate the capability to manage funds and project manage effectively;

It is also beneficial if applicants can demonstrate:

- Additional funding commitments from other project partners or demonstrated efforts to secure additional funding;
- Vision for how the project can become self-sufficient or pathway for sustainability beyond the funding period;
- Opportunities for Murihiku Rūnaka members and/or Rio Tinto / NZAS employees to be involved in the project; and/or
- Letters of Support to demonstrate commitment from additional community project partners and related community organisations.

Applicants may present a project that is already fully developed or may seek funds for scoping studies to determine the feasibility of a worthwhile concept.

Support from the Fund may be the sole source of funding; however, applicants are encouraged to seek funds and/or in-kind support from several sources, such as joint arrangements with Government or private funding bodies.

Applicants should also identify the availability of funds or in-kind proposal support from within their organisation or group.

## Is my project eligible for a grant?

### Organisations or groups must:

- Have recognised credentials or expertise in the programme/project area.
- Have appropriate and effective governance structures.
- Have the capacity to support the project which funds are requested for.

### Preference will be given to:

- Project or programmes that benefit mana whenua and the wider Murihiku community.
- Project or programmes that align with one or more of the focus areas:
  - Human Rights
  - Culture, heritage and place
  - Community capacity and connections
  - Economic opportunity and decarbonisation

### Things we won't fund:

- Activities that do not benefit mana whenua and/or the wider community.
- Political organisations or religious purposes.
- Private businesses, or business memberships.
- Ongoing costs or retrospective project costs.
- Projects or programmes which do not align with Murihiku Rūnaka or Rio Tinto / NZAS Drivers, or the Fund Focus Areas.
- Projects normally funded by the Government.
- Requests for general funding or support without clear indication of how the money will be spent.

### Minimum Funding Level

Applications must be for a minimum of \$5,000.

Rio Tinto / NZAS have a separate sponsorships and donations programme to support local projects for \$5,000 or less (<https://www.nzas.co.nz/pages/community-support-partnerships/>).

### Health and Safety

Rio Tinto is the operator and majority owner of the Tiwai aluminium smelter. NZAS is the operating entity. Accordingly we utilise Rio Tinto systems. This includes Rio Tinto's commitment to best practice health and safety and adherence to the requirements of the Health and Safety at Work Act 2015 (HSWA). Therefore, it is important that you / your organisation has the necessary health and safety policies, resources and expertise to safely undertake and complete your project.

All applicants who are approved for funding will be required to have a project-specific Health and Safety Plan in place that is suitable to support the safe delivery of your project. Guidance on the HSWA, including resources to assist in the development of Health and Safety Plans, can be obtained from WorkSafe New Zealand: <https://worksafe.govt.nz/managing-health-and-safety/>.

You may include costs associated with health and safety as part of your application.

## Funding Rounds

The inaugural funding round for the Fund is open until Monday 12 June 2023.

Decisions on the inaugural funding round are anticipated in late July 2023.

A second round will be open from July until Monday 6 November 2023 – with decisions anticipated before the end of the year.

At least one funding round will be available in 2024, subject to the quality of applications in 2023 and remaining funding. The date for 2024 funding round(s) will be determined and published in early 2024.

## How is your application assessed?

To be considered, applications must be submitted prior to the nominated closing date.

Applications are to be submitted as follows:

- complete the Online Form at [www.nzas.co.nz/pages/community-support-partnerships/](http://www.nzas.co.nz/pages/community-support-partnerships/) and
- complete the Project Application Table and submit by email to [community.fund@riotinto.com](mailto:community.fund@riotinto.com).

Please use Table 1 below to assist with response to Question 13 in the online Application Form.

**Table 1**

Funding Organisation	Amount Requested	Date Applied	Outcome	If still awaiting decision – anticipated date of notification?	Amount Funded
			Approved / Declined		\$

Incomplete applications will not be considered.

Relevant supporting documentation is welcomed and can be attached. Applicants should make every effort to complete all relevant sections of the application form.

Applicants may be asked to present their proposals in person. If this is required, a minimum of a week's notice should be provided to the applicant to make arrangements.

## Who decides if the application will be successful?

A joint Rio Tinto / NZAS and Murihiku Rūnaka Advisory Group will assess applications and make decisions.

The Advisory Group consists of:

- Three representatives from Murihiku Rūnaka; and
- Three representatives from NZAS / Rio Tinto

The Advisory Group are supported by a NZAS Executive Officer.

The Executive Officer will support potential applicants through the application process to ensure applications fit the funding criteria. The Advisory Group will award funding based on degree to which the project meets the assessment criteria and the merits of your project compared with other applications.

### **Approval Process**

Applicants will be subject to a Rio Tinto due diligence review. The Executive Officer will lead this process to support applicants.

Applicants that are successful will be required to:

- Work with the Executive Officer in developing a Partnership Agreement specifying development timeframes and performance measures;
- Sign a Partnership Agreement;
- Use the allocated funds within the project timeline;
- Submit project updates to the Advisory Group as outlined in the Partnership Agreement; and
- Following completion, provide a basic report on the lessons learned, outcomes achieved and the use of funds.

### **Notification Process**

Unsuccessful applicants will be notified in writing within two weeks of the Advisory Group meeting. A general reason for the rejection will be provided and it shall be related to the outlined eligibility criteria.

### **Partnership Agreements**

The Partnership Agreement shall include:

- The name of the project;
- The identities of the parties involved in the partnership to deliver the project, including key contacts;
- The project timeframe and financial commitment, including payment schedule and milestones for payment;
- Conditions of approval (if required);
- Reporting Schedules (scope of works, project activities, timeframes and KPIs);
- Budget and funding schedule; and
- Signatures of the applicant and the appropriate Fund representatives.

### **Financial activities/acquittal process**

Rio Tinto / NZAS will make payment to applicants as indicated in their application form in accordance with the payment schedule and milestone delivery defined in the Partnership Agreement.

All monies must be used within twelve months of approval unless the project is specifically approved for a longer duration.

## **Frequently Asked Questions**

### **What if my project activities can't be completed within 1 year?**

It is possible for funding to extend more than one year in certain circumstance. However, as applications are required to outline the whole of life costs for the projects, the Advisory Group may opt to support a portion of the application.

### **What if I am not part of an official group?**

Individuals and groups of people can apply to the Fund.

### **Who can't apply?**

Government departments and local authorities are not eligible to apply to the Fund.

**If I work for Rio Tinto / NZAS or one of the Murihiku Rūnaka can I apply?**

Yes, Murihiku is a small community and we understand that many people have a connection to either the Smelter or a Rūnaka.

**What can I use the grant money for?**

Grants can be used towards activities that support investment in a sustainable and positive future for mana whenua and the wider Murihiku community. Funding for salaries and contractors is also eligible but applicants must demonstrate in the application why these roles are vital to the completion of the project.

**What does the grant not cover?**

- Retrospective costs (which are costs you have already spent)
- Reimbursement of time for voluntary labour
- Activities that individuals, organisations or councils are required to do by law
- Proposals that are designed to generate personal or commercial profit
- The development of an activity for which public use will be restricted by copyright or patent
- Debt repayment or the refinancing of loans
- Participation in statutory processes or litigation
- Venture capital
- Single person academic scholarship
- Local and central government charges, and
- Fees or any other costs which the Advisory Group decides not to fund.

**Do I need to provide a detailed budget?**

The Advisory Group will use the budget information provided in your application to determine whether they think your proposed costs are reasonable and realistic for the proposed activities. Your budget should provide a detailed breakdown of all estimated project-related costs (expenditure) for the full duration of the project. You should provide enough information for the Advisory Group to fully understand how the requested funding will be used.

**Do I need to be registered for GST?**

Applicants do not need to be registered for GST to apply for funding. However, funding is a taxable activity. If your organisation is conducting a taxable activity and its annual income exceeds \$60,000 or more per annum, it must be registered for GST in accordance with GST legislation. For more information, see [www.ird.govt.nz/gst](http://www.ird.govt.nz/gst) or phone the Inland Revenue Department on 0800 377 776.

**Do I need to include GST in my budget?**

If you are registered for GST, you will need to provide all costs as GST exclusive. If you are not registered for GST, you will need to use GST inclusive costs in your budget.

**Reporting Requirements**

You will be asked to provide a short report at the completion of your project with a picture/photo. Rio Tinto may wish to audit your project at its completion. You may be asked to provide copies of bank statements showing incoming and outgoing funds, plus copies of any invoices.

Successful applicants will be asked for updates on their project. If they do not provide these, they may have future payments withheld, and/or their funding reviewed and may not be eligible for another grant.

**Disclosure**

Approved Funding will be reported through Rio Tinto's Social & Environment (S&E) Survey and will be published in an annual scorecard on or before 31 March each year.

## **APPENDIX ONE**

### **Rio Tinto and NZAS Business Drivers**

The Community Development Fund focuses investment across a number of key focus areas that are aligned to the Rio Tinto values and objectives.

The Rio Tinto Communities and Social Performance Standard (2022) provides the overarching minimum operational requirements for Rio Tinto as it relates to the right to participate and social licence to operate.

The Standard applies to all social investment activities, and ensures minimum social investment good practice by:

- Mandating social investment contributions at a local level that are commensurate with the business' scale, nature and extent of interaction with host communities
- Providing greater rigour in social investment governance processes including enhanced measurement and reporting of our contribution.
- Improving consistency of social investment contribution across the business.
- Intentionally catalysing diversified regional economic development outcomes for host communities and business ecosystems.
- Integrating human rights (doing no harm and equally promote enjoyment of rights) and gender impacts into social investment.
- Increasing outcomes-focussed partnerships that deliver enduring benefits to host communities and society aligned to their aspirations and goals.

### **Murihiku Rūnaka Drivers**

Murihiku Rūnaka wish to ensure that projects and funding will be for the Murihiku Region, with the intent of:

- a) Providing opportunities for education, including early childhood education, and upskilling of people;
- b) Monitoring and assisting in the preservation of the environment and investigating opportunities to enhance that environment, especially from a mahinga kai (food gathering or production) vantage;
- c) Providing support and funding to investigate, develop and create new business opportunities that create new employment;
- d) Assist and fund health and wellbeing centres that will enhance the lives of people;
- e) Protection of heritage values and objectives, especially coastal and/or Māori historical sites;
- f) Encouraging science and innovation;
- g) Promote that region to bring new industry, people and developments that create opportunities.

## APPENDIX TWO

**FOCUS AREAS** that will shape partnerships and investment decisions are:

Human Rights	Culture, heritage + place	Community capacity + connections	Economic opportunity + decarbonisation
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Enhance, accelerate and amplify social outcomes by investing in eco-systems that:

<p>Enhancing diversity, equity and inclusion within and around the communities and systems that create the foundations for people to thrive. We include mana whenua voice and participation, promote gender equity, and support programs that support respect for and enjoyment of human rights.</p> <p>This will include, but not limited to, assisting and funding health and wellbeing centres that will enhance the lives of people.</p>	<p>Contributing to transformative inter-generational conservation outcomes in the areas of culture, heritage or environment.</p> <p>This will include, but not limited to, monitoring and assisting in the preservation of the environment and investigating opportunities to enhance that environment; and protection of heritage values and objectives.</p>	<p>Unlocking human potential and strengthening community resilience by enabling organisational capability and capacity and building social connections.</p> <p>This will include, but not limited to, providing opportunities for education, including early education, and upskilling of people; and encouraging science and innovation.</p>	<p>Contributing to strong local ecosystems through locally driven economic development and transition opportunities by investing in programs that prepare and enable host communities to thrive in a decarbonising world that tackles the challenges of climate change responsibly.</p> <p>This will include, but not limited to, providing support and funding to investigate, develop and create new business opportunities that create new employment; and promoting the region to bring new industry, people and developments that create opportunities.</p>
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