

# Guide for Umbrella Organisations and Unregistered groups

## **Definition of an umbrella organisation and an unregistered group:**

### **Umbrella (or fund holder) organisation:**

An organisation that meets Foundation North's general eligibility criteria, is registered on the Foundation North Funding Hub and has the capacity to provide support to an 'unregistered' group not able to apply directly as they may not meet one or more of the eligibility criteria.

### **Unregistered group:**

A group that has charitable purpose and has some track record of meeting a need in the community they work in; but may not meet one or more of Foundation North's general eligibility criteria and therefore not eligible to apply directly for Foundation North funding. The group must operate in the Auckland and/or Northland region.

*Notes:*

*If you have any questions, or need help with your application, please give us a call on 0800 272 878*

## Responsibilities of the ‘unregistered’ group:

- Secure commitment from ‘umbrella’ organisation.
- ‘Primary Contact’ for ‘unregistered’ group must register in the Foundation North Funding Hub.
- Complete and submit funding request; agree to the Terms and Conditions and provide all necessary information and documentation. NB: ‘Primary Contact’ for ‘umbrella’ organisation should be noted as ‘Secondary Contact’ on your funding request.
- Demonstrate charitable intent and ensure that any approved grant is used for charitable purposes for community benefit and that no private or individual gain is generated.
- Provide required reports and ensure all accountability is met in a timely manner.

## Support documents to be provided by the ‘unregistered’ group:

- Cover letter outlining their request, their charitable intent and that there will be no private/ individual gain from any grant funding secured. Please also explain that they are a group (at least 3 people) with a simple structure in place (chair, secretary, treasurer). This letter must be on appropriate letterhead or logo, signed and dated no older than six months old.
- If applying for a Quick Response Grant (up to \$25,000) we require a copy of the Financial Statements from the group - a simple profit & loss report (income & expenditure) and balance sheet (assets & liabilities). These financial statements must:
  - be no older than 16 months at submission of the funding request
  - be signed by one representative of the group (please remember to note the signatory name).
- If applying for a **Community Grant (over \$25,000 but up to \$40,000)**, we require a copy of the Financial Statements from the group - a simple profit & loss report (income & expenditure) and balance sheet (assets & liabilities). These financial statements must:
  - be no older than 16 months at submission of the funding request
  - be signed by one representative of the group (please remember to note the signatory name).
- Letter of support from another community organisation (not the ‘umbrella’ organisation), detailing your group’s track record in delivering a quality service that meets a need in the community. This letter must be on appropriate letterhead, signed and dated no older than six months old. Please note that we require one support letter for a **Quick Response Grant (up to \$25,000)** and two support letters for a **Community Grant (over \$25,000)**.
- Budget for your funding request that provides details of income you are budgeting to receive (note all income sources including this funding request) and expenditure your group is budgeting to spend. Please ensure that the budget notes your group’s name and applicable budget date/s (we do not fund retrospectively, so ensure this is reflected in the budget date/s).
- Quote/s for specific equipment or services you want to be funded.

Notes:

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## Responsibilities of the ‘umbrella’ organisation:

- ‘Umbrella’ organisation must register in the Foundation North Funding Hub.
- ‘Primary Contact’ for ‘umbrella’ organisation should be noted as ‘Secondary Contact’ on any funding request submitted by the ‘unregistered’ group.
- If a grant is approved; Foundation North will pay the grant into the ‘umbrella’ organisation bank account, who in turn will pay the ‘unregistered’ group as soon as possible following receipt of the grant funds.
- All documentation goes to both parties to ensure full transparency (eg: decision letters, reports etc).
- Reporting/Accountability requirements to be provided by ‘unregistered’ group.

## Support documents to be provided by the ‘umbrella’ organisation:

- A letter to note your organisation's agreement to act as the 'umbrella' and to your responsibility as 'fund holder' and to adhering with the terms and conditions of the grant. The document must be signed by one representative from your organisation's governing board or committee (please remember to note the signatory name).
- An organisation must be able to provide annual accounts in support of a funding request. These accounts must:
  - be no older than 16 months at the time of submission of the funding request.
  - be signed by the Chair
  - meet the content requirements of New Zealand’s reporting standards for not for profit organisations. These content requirements differ by size of organisation and further details can be found at <https://xrb.govt.nz/accounting-standards/not-for-profit/>

If the constitution, rules or trust deed stipulates that the organisation must have compiled, reviewed or audited accounts, the organisation must provide that report with their application.

Where audited accounts are required, the Management Letter that accompany the audited accounts must be submitted. The Management Letter is different to both the Auditor’s Report, and the Representation Letter (where an organisation is engaging the auditor’s services). The Management Letter is from the auditor to the organisation’s governing body after the audit is completed. It outlines their audit findings including any issues identified, adjustments made, and it may contain recommendations for improving financial controls or processes in the future

Notes:

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