



# Guide for Applicants

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## Purpose of Heritage EQUIP

The Heritage Earthquake Upgrade Incentive Programme (Heritage EQUIP) provides support to private owners of nationally significant and earthquake-prone heritage buildings to seismically strengthen their buildings.

Discretionary grants will be directed to the most worthy projects where financial assistance is required to undertake seismic strengthening so that a building is no longer earthquake-prone under the Building (Earthquake-prone Buildings) Amendment Act 2016.

Heritage EQUIP grants contribute up to 50% of the seismic strengthening costs to works that:

- raise the earthquake resistant capacity of the building to 34% New Building Standard (NBS), or
- raise the earthquake resistant capacity of part of a building to 34% New Building Standard (NBS).

Heritage EQUIP recognises that in practice it is difficult to exactly meet 34% NBS, so applications for a design that go over 34% will be accepted if the application shows the solution presented is the optimum solution.

Heritage EQUIP funding is only able to match the costs of strengthening a building to the point where it is no longer considered earthquake-prone (i.e. to 34% NBS). If an owner wants to strengthen their building to greater than 34% NBS, the Heritage EQUIP Panel will consider the level of support that can be given to such a project to ensure a fair assessment of all applications.

## General information

Heritage EQUIP is open to applications throughout the year. The fund's expert advisory panel meets three times per year to consider applications. We will publish close-off dates for panel meetings on the [heritageequip.govt.nz](http://heritageequip.govt.nz) website.


Applications for Heritage EQUIP funding will be considered on a contestable basis against other applications, and within the annual funding available.

To submit an application to Heritage EQUIP, applicants must complete one of the following forms and attach relevant supporting material:

- Heritage EQUIP Retrofit grant application form
- Heritage EQUIP Major Works grant application form

If you are unclear which grant to apply for, you can contact a Heritage EQUIP Fund Advisor on [heritage.equip@mch.govt.nz](mailto:heritage.equip@mch.govt.nz) or (04) 499 4229.

When completing the Heritage EQUIP application form, applicants should be aware of the following:

- This guide has been designed to be used alongside the Heritage EQUIP Retrofit and Heritage EQUIP Major Works application forms. If you are unclear about what information is being asked for in the form, refer to the corresponding section in this document.
- The  symbol indicates that supporting evidence should be attached to the application form and indexed as set out below.
- All applications must be received in writing. Applicants will not be able to make oral submissions on their projects to the Expert Advisory Panel.
- Applications must be submitted in two formats:
  - One paper copy set of the full application should be provided for reading and mark-up purposes. **Please do not use folders or binders to present your application as applications need to be photocopied.** Paperclips can be used to indicate that particular pages should be looked at together.
  - One electronic copy set of the full application should be supplied. Electronic copies can be provided on a USB flash-drive, or by providing a link to your documents held on a web-

- based document sharing platform. Electronic documents should be indexed in the same manner as the paper-based copy set of the application.
- Please be aware that by accepting use of third party web-based document sharing platforms the Ministry for Culture and Heritage aims to simplify the transfer of application information for the applicant. We are unable to make representations on the security of any application information (including personal information) provided via third party platforms, and therefore security of information is the applicant's sole responsibility.
  - All sections of the application form must be completed.
  - All financial figures should be shown as GST exclusive consistently throughout the application. Please indicate if figures provided in quotes are not GST exclusive.
  - Please ensure that the contact email address included in the application form is correct. Ministry for Culture and Heritage staff may contact the applicant during the appraisal process to request further information.

## Heritage EQUIP assessment criteria

The Heritage EQUIP Expert Advisory Panel will consider each application against the following criteria:

- a) Significance: the heritage value of the building
- b) Safety benefit: the extent of the safety benefits from the proposed work, through ensuring life safety standards for people in and around the building
- c) Urgency: the urgency of the proposed work, including the extent of potential loss or additional costs if the proposed strengthening work is deferred and whether the building is a priority building under the Building (Earthquake-prone Buildings) Amendment Act 2016
- d) Best practice: the extent to which the proposed work is in accordance with recognised conservation and engineering principles. In considering applications against this criteria the panel does not undertake a formal consenting or engineering review, however
- e) Value for money: the costs versus the benefits of the proposed work
- f) Buildability: whether the proposed works can be completed, taking into account the provision of suitably qualified project management and supervision
- g) Community support: the extent to which the proposed work will contribute to continued or future-use opportunities for the building, or contribute to regional economic growth
- h) The extent to which there is other assistance available in the region.

When you are putting together your application, make sure you demonstrate that the project you're planning meets the criteria. In summary, we are looking to see:

- the building has significant heritage value
- there is/are clearly stated seismic strength problem(s) with the building and the proposed works are a solution to the seismic strength problem(s)
- the proposed works will ensure the building (or part of the building) is no longer earthquake-prone under the Amendment Act and how this will improve the safety of the building
- whether the building is a priority building and the timeframe set for you to upgrade the building
- the extent of potential loss or additional costs if the proposed strengthening work is deferred or not carried out
- the proposed work is practical to deliver and meets the recognised conservation and engineering principles and best-practice standards, including works specifications and conservation methodologies, reports or plans and a heritage impact assessment
- the proposed work is ready to begin including having plans for project management and supervision of the project, and you have obtained the relevant consents including building consent and resource consent from your territorial authority
- there is community support for the strengthening works
- the proposed work will contribute to continued or future-use opportunities for the building, or contribute to regional economic growth
- you have explored other avenues of funding support available to you within your region
- the project is good value for the investment of public funding.

## Guidance on completing the application form

### SECTION ONE: APPLICANT DETAILS

The applicant must be the building owner or a representative of the building owner. In circumstances where there is more than one building owner, the applicant will need to show that they have the support of all the building owners.

If you are not the building owner, you'll need to provide evidence that you have authorisation to submit the application on the owner's behalf.

### SECTION TWO: BUILDING DETAILS

Heritage EQUIP is only available for privately owned heritage buildings. If you are unsure whether your building is eligible for funding, please contact a Heritage EQUIP fund adviser on [heritage.equip@mch.govt.nz](mailto:heritage.equip@mch.govt.nz) or (04) 499 4229.

#### *Supporting documents*

##### Certificate of Title

The Certificate of Title is the formal document identifying the owners of a property. Land Information New Zealand (LINZ) is the government department responsible for running New Zealand's survey and title information.

You can find out about how to order a Certificate of Title on the LINZ website:

[www.linz.govt.nz/land/land-records/order-title](http://www.linz.govt.nz/land/land-records/order-title)

##### Documentation determining the building as earthquake-prone

The Heritage EQUIP Expert Advisory Panel will need to see documentation from the relevant territorial authorities (commonly referred to as city or district councils) confirming that your building is earthquake-prone. You will need to provide a copy of s124 notice, or a written statement from the territorial authority. If this information is not available from your territorial authority, you will need to provide a seismic assessment undertaken by a Chartered Professional Engineer.

#### *Name of building*

If the building has a number of names (for example the current name differs from that listed by Heritage New Zealand) please enter all known names and clearly identify the current name of the building.

#### *Current and post-works use of the building*

The Heritage EQUIP Expert Advisory Panel need to understand how the building is currently used, and the intended use of the building following completion of strengthening works. This will assist in understanding the public benefit as well as the types of buildings that are being strengthened, e.g. retail, multi-unit residential, hotel, theatre.

#### *Seismic risk zone*

Heritage EQUIP funding is typically available for:

- Category 1 heritage buildings across the country
- Category 2 heritage buildings in high or medium seismic risk zones.

To find out which seismic risk zone your building is in, you can talk to your territorial authority or consult this map: [www.building.govt.nz/managing-buildings/managing-earthquake-prone-buildings/how-the-system-works/#jumpto-seismic-risk-areas-and-time-frames](http://www.building.govt.nz/managing-buildings/managing-earthquake-prone-buildings/how-the-system-works/#jumpto-seismic-risk-areas-and-time-frames)

#### *Heritage status of the building*

To assist the Heritage EQUIP panel to understand the heritage value of the building, please provide:

- the New Zealand Heritage List number and entry report, specifying whether the building is Category 1 or Category 2 status. You can find out more information about the New Zealand Heritage List at [www.heritage.org.nz/the-list/](http://www.heritage.org.nz/the-list/)

If your building is not a Category 1 or Category 2 historic place, please provide:

- evidence that the building is listed on other parts of the New Zealand Heritage List (wāhi tapu, wāhi tūpuna, wāhi tapu area or historic area) or scheduled on the district plan (schedules are available on territorial authority websites), or
- evidence that the building is in the process of being listed with Heritage New Zealand. Please provide evidence from Heritage New Zealand of the proposal and the proposed category, or
- evidence that the building is considered as a 'contributing building' in a listed historic area, or
- evidence, that the building is scheduled to a district/city plan, including the territorial authority's heritage record of the building.

If the proposed work, particularly earthworks and work on foundations, affects an archaeological site, you must obtain an authority from Heritage New Zealand before you begin.

### **SECTION THREE: DESCRIPTION OF PROPOSED WORKS**

Applicants should provide an overview of the planned project works with supporting documentation. The overview should include:

- clear statement of the seismic strength problem(s) with the building and that the proposed works are a solution to the seismic strength problem(s)
- any issues regarding the urgency of strengthening work to be addressed (this includes the public safety risks if the work is not undertaken)
- the extent of potential loss or additional costs if the proposed strengthening work is deferred
- a comment on the feasibility and durability of the work (including value for money)
- a statement concerning the impact of the works on the heritage values of the building.

Heritage EQUIP funding may be used for (but not limited to):

- careful removal, noting, transport and storage of heritage material required for access and construction of the structural strengthening works
- careful removal of other materials required for access and construction of the structural strengthening works and disposal off site
- provision, fitting and fixing of all materials for the structural strengthening works
- provision of all labour and equipment to carry out the structural strengthening works
- clean up of the new works to receive the replacement of heritage fabric
- associated Preliminary and General costs (P&G) and margins to provide materials and carry out the structural strengthening works.

A higher level of detail is required for Heritage EQUIP Major Works grant applications than Heritage EQUIP Retrofit grant applications (see below).

Work funded by Heritage EQUIP must be commenced within 12 months of signing the Heritage EQUIP funding agreement and completed within 2 years of signing the funding agreement. The work applied for must not have started before the Chief Executive decides whether funds will be allocated. Note that Heritage EQUIP funding is not available for work that has commenced.

#### Heritage EQUIP Major Works supporting documents



This list should be read in conjunction with the checklist in the application form. Heritage EQUIP Major Works applications should be accompanied with sufficient documents to show:

- the location and extent of the works
- structural design calculations and assumptions
- a Design Features Report (providing basic information on the building, its form, structure and the criteria used for design)
- a full set of construction drawings
- full specifications for the trades required to carry out and complete the works, including a section on the removal of heritage fabric (as required to carry out the works), reinstatement and protection of heritage fabric
- a statement from Heritage New Zealand or a recognised conservation specialist about the impact of the works on the heritage value of the building
- evidence that engineering advice has been provided by a Certified Professional Engineer and that the peer review has also been undertaken by a similarly qualified engineer
- the project works shall have a Producer Statement B1, B2 from a CPEng Engineer (structural) certifying that the works comply with the NZ Building Code, or where the works are strengthening part of a building, the works will be integrated into a future phase such that the building as a whole will comply with the NZ Building Code
- a costing summary prepared by a registered Quantity Surveyor
- where the works are a phase of an extensive structural strengthening project, the building owner shall provide evidence stating the number of years before the full strengthening of the building will be completed to achieve a minimum earthquake resistant capacity of 34% NBS
- the structural works design has been peer reviewed by a suitably qualified engineer
- photos of the building, including the parts of the building your project affects
- resource and building consent approvals for the proposed work.

#### Heritage EQUIP Retrofit supporting documents



This list should be read in conjunction with the checklist in the application form. Heritage EQUIP Retrofit applications should be accompanied with sufficient documents to show:

- the location and extent of the works
- construction drawings for the proposed works
- standards to be met by the construction (this should be no more than would be required by a territorial authority)
- a description of the removal of any heritage fabric (as required to carry out the works), reinstatement and protection of heritage fabric
- a statement from Heritage New Zealand or a recognised conservation specialist about the impact of the works on the heritage value of the building
- evidence that engineering advice has been provided by a Certified Professional Engineer
- a Producer Statement B1, B2 from a CPEng Engineer (structural) certifying that the works comply with the NZ Building Code, or where the works are strengthening part of a building, the works will be integrated into a future phase such that the building as a whole will comply with the NZ Building Code
- where the works are a phase of an extensive structural strengthening project, evidence of the number of years before the full strengthening of the building will be completed to achieve a minimum earthquake resistant capacity of 34% NBS
- photos of the building, including the parts of the building your project affects
- resource and building consent approvals for the proposed work.

## SECTION FOUR: HERITAGE EQUIP OUTCOMES

Please provide a short description of how you think your project meets the desired outcomes of Heritage EQUIP.

In particular, you should describe the public benefits of strengthening your building, including:

- the retention of heritage values
- the improvement of public safety for people in and around the building
- the contribution of the building to the local / regional economy (including future use opportunities enabled through the strengthening work).

Please include in your application evidence of any community engagement and investment, whether financial or otherwise (including involvement of local authority). You may attach additional sheets to the form.

## SECTION FIVE: FUNDING

Heritage EQUIP funding is available for up to 50% of the actual costs of seismic strengthening. Your application will need to show the total estimated costs for the seismic strengthening work.

Heritage EQUIP Retrofit grants will not exceed \$25,000. Applicants requesting grants greater than \$25,000 should apply for a Heritage EQUIP Major Works grant.

Applicants may not apply for more than one grant relating to the same property within each government financial year (1 July–30 June). Unsuccessful applicants for a specific project are able to apply in later years on the basis that the project still meets all the eligibility criteria.

Heritage EQUIP Funding will NOT cover the cost of any contingency allowance in the contract.

*Supporting documents*

Recent itemised quotes or estimates



For Heritage EQUIP Major Works applications please provide a costing summary prepared by a registered Quantity Surveyor.

All applications must include recent (within three months of application date) quotes or estimates from recognised construction professionals, and the quotes must relate directly to the work for which you are seeking Heritage EQUIP funding. If your application is for works comprising part of a larger project with non-seismic strengthening components, the quote must identify the earthquake strengthening component costs.

Evidence you can meet or bridge the full project costs



Heritage EQUIP grants are paid after the work described in your application has been completed. Applicants must include evidence in their application that the property owner can meet or bridge the full project costs. This is usually financial documents, such as audited accounts or bank statements.

Other sources of funding



A Heritage EQUIP grant for seismic strengthening can match but not exceed contributions from other funding sources. Other funding sources could include:

- a grant from a local heritage fund
- community fundraising
- philanthropic contributions.

In the Heritage EQUIP application form, applicants need to provide information about which funding sources they have approached, how much they requested from that source and the amount of funding they have been allocated.

Your other funding for the actual seismic strengthening work cannot come from Heritage New Zealand's National Heritage Incentive Fund. However, the New Zealand Heritage fund may contribute to aspects of the project other than the seismic strengthening work (e.g. conservation plans, heritage fit-out).

#### Community support

Community support is often a wider, less formal, indication of heritage values. Please include any evidence of community support for your project, or for the building in general. Evidence may include links to media articles, presentations to consent hearings, community petition or fundraising efforts, or Council or local heritage organisation endorsement.

### Where to send the application

Sending applications by post:

Heritage EQUIP Fund  
Delivery Group  
Ministry for Culture and Heritage  
PO Box 5364  
**Wellington 6140**

Sending applications by courier:

Heritage EQUIP Fund  
Delivery Group  
Ministry for Culture and Heritage  
Level 1, Public Trust Building  
131 Lambton Quay  
**Wellington 6140**

***Please remember to include a full digital copy of the contents of your application.***

Digital copies can be provided on a USB flash-drive, or by providing a link to your documents held on a web-based document sharing platform. Please be aware that security of any application information provided via a third party platform (including personal information) is the applicant's sole responsibility.

If you have any questions about Heritage EQUIP, please contact one of the Heritage EQUIP fund advisors on 04 499 4229 or [Heritage.Equip@mch.govt.nz](mailto:Heritage.Equip@mch.govt.nz). Further information is also available on the [heritageequip.govt.nz](http://heritageequip.govt.nz) website.