

federationcouncil.nsw.gov.au

GRANT MANAGEMENT POLICY

Record No: 21/10990

Adopted: 28 September 2021



Document Title	GRANT MANAGEMENT POLICY
Council Adopted	28 September 2021
Council Resolution No	330/21FC
Version Number	1
Responsible Department	Community and Economic Development
Date to be Reviewed	28 September 2023

Table of Contents

1. Purpose.....	4
2. Background.....	4
3. Scope	5
4. Definitions	5
5. Grant Management Roles and Responsibilities	6
6. Grant Management.....	7
7. Award Notification, Review and Acceptance	7
8. References & Associated Documents	7
9. Policy History	8
10. Reviews.....	8

1. Purpose

This Policy documents Council's approach to grant seeking and outlines how Council maximises the benefits to the Federation Council by taking an organisation wide approach and targeting effort to priority projects and managing grant risks.

Council receives grant allocations and actively seeks grant funds to undertake recurrent and non-recurrent activities, operational and capital projects. Incoming grants comprise roughly a third of Council's revenue and administration activities need to be proactively managed. Doing so enables Council to meet community expectations and maximise benefit to the Federation region within existing Council capacity.

Grant seeking success is directly linked to an application's competitiveness and the applicant's past record in both project and grant management. Successful applications share basic characteristics:

- The application is well planned.
- The proposed project is included in Council's strategic/operational plans. (Applications that reflect Council priorities are more competitive.)
- The project is developed to investment ready status.
- The applicant and project are both eligible for the funding.
- The application requirements are met.

The development of investment-ready projects and competitive applications requires Council to draw on its existing resources. Where resources are limited, it is imperative that Council develops projects in a well-targeted manner.

This approach is consistent with Council's mainstream project and program planning system in which there will always be projects being developed and delivered in line with Council's strategic priorities. As a result, Council will maintain a list or 'pipeline' of projects from early concept through to investment-ready (seeking funding), delivery and completion stages. This approach will deliver clearly defined and prioritised projects and will support Council to secure funding for these projects through:

- advocacy to funders for high priority projects
- working with multiple funders to develop partnership approaches to funding
- seeking funding for projects through known application processes
- applying within required timeframes when unexpected funding opportunities arise

2. Background

Council has made an undertaking through its Community Strategic Plan to support community priorities and objectives and has committed to actions in Council's Delivery Program which require it to seek opportunities for grants through a variety of avenues.

Following amalgamation in May 2016, Council has received many grants that have provided for minor and major projects across the Federation Council area. The number of grants received and the possibility of further opportunities has influenced the need to ensure all grants are managed in a compliant, effective and efficient manner. It is also imperative that projects that may present future grant opportunities are identified and developed in readiness for application once grant funding becomes available.

3. Scope

This Policy applies to all incoming non-recurrent grants across all departments of Council where Council is either the direct applicant or auspice.

To ensure consistency and accountability in securing and managing grant funds, all organisational requests for capital or operational grant funding , *except for those under \$10,000 where no funding contribution is required*, must be authorised by MANEX and managed by the Grants Officer. The Grants Officer shall oversee all requests, application submissions, acceptances, and post award milestone acquittal requirements, including project and financial reporting.

4. Definition

Auspice	In a funding context, an auspice is an organisation who manages grant funding on behalf of another group or entity.
Formal Agreement	A written agreement signed by relevant parties that is officially sanctioned or recognised
Funder	A person, government or organisation that provides money for a particular purpose.
Grant	A grant is a sum of money, or services, given for a specific purpose, typically as a result of an application or proposal which has been submitted to the funding organisation.
Grant - Competitive	A grant process which requires applicants to compete with other applicants for the available funding. Projects are funded based on how well they meet funding criteria
Grant – Non-recurrent	A grant that requires an application and are given for a specific project. The project may be delivered over less than one year or over a number of years.
Grant – Recurrent	A grant that is allocated and given repeatedly for an ongoing service or project.
Grant Cycle Framework	The life cycle of incoming grants to Council that outlines five stages in the life of a grant. The stages are concept, develop, apply, manage and close out.
Investment Ready	Where all planning has been completed and procurement can commence as soon as funding is granted.
MANEX	The Federation Council Management Executive made up of the General Manager and three Directors.
Project Management Framework	The process where projects are identified, developed, delivered and evaluated.
Project Sponsor	The staff member of the organisation who requests approval for Council to obtain external grant funding and becomes the point of accountability to ensure the project is successfully delivered.

5. Grant Management Roles and Responsibilities

Project Managers / Sponsors

Internal departments that apply for and utilise grant funds, with assistance from the Grants Officer, are responsible for ensuring that information is provided to support all grant-related activity including:

- planning for grant acquisition; preparation and submission of grant proposals including proposals for continuing current awards;
- technical information to support the development of the grant application in conjunction with the Grant Officer;
- preparing departmental budget revision requests to accept grant funds;
- approval of Council preparing agenda items in support of grant funded projects;
- developing a range of grant related documentation which may include grant implementation plans, project costings, budgets and other relevant reports ;
- managing grant funded projects;
- assistance with preparation and submission of programmatic reports to grantors; and
- properly closing out grant projects as detailed in this policy and in the grant agreement or award letter that delineates the terms and conditions of the grant.

Department managers are assisted with the financial and technical management of the grant by the Grants Officer and the Finance Department.

Grants Officer

The Grants Officer is responsible for:

- general management and administration of the Council's grant activities;
- identifying grant opportunities;
- providing “pre-award” and “post-award” technical assistance to departments to enhance programmatic administration of grants;
- assisting in preparing grant budgets;
- submitting grant reimbursement requests,
- preparing and submits grant budget revisions;
- reconciling grant accounts in coordination with the Finance Department;
- ensuring programmatic reporting requirements are met;
- identifying and investigating issues that may arise with respect to the management of agency grants;
- compliance with all grant project recognition activities such as announcements and openings;
- maintenance of Council’s grant register and reporting and
- liaison with the community groups regarding available grant opportunities.

Finance Department

The Finance Department is responsible for the oversight of grant-related financial activity. In this role the Finance department:

- Reviews financial reports generated by the Grant Officer and
- Provides general oversight of other financially based grant related issues including proper budgeting and accounting;

The Finance Department has sole authority for the ‘drawdown’ of funds and must approve all financial reports and reimbursement requests prior to submission.

Directors

Provides authorisation of grant submissions over \$10,000 and contracts including:

- memoranda of understanding and employment of procurement contracts arising from implementation of a grant program;
- employment or procurement contracts arising from implementation of a grant program;
- ensure statutory compliance and conformity with Federal and State law, as well as rules and policies of Council.

General Manager

The General Manager, acting on behalf of the Council, is the “Authorised Official” on **all** grants.

The General Manager has authority to:

- approve and sign grant applications for Council at the time of application submission;
- signs grant agreements that have been approved by the Council.

6. Grant Management

Council has developed a comprehensive procedure relating to the request for, application and management of grant applications submitted by Council (this procedure is document XX/XXXX in content manager). All staff must ensure that any risks associated with the financial and project management activities associated with the grant are identified and addressed. Refer to the Federation Council Grant Management Procedures for more detailed information.

7. Grant Notification, Review and Acceptance

Grant agreements are legal contracts. It is Council’s responsibility to carry out the project and/or activities associated with a grant to accomplish its objectives, while adhering to all of the terms and conditions prescribed by the grant funder. Failure to do so increases the Council’s exposure to legal liability and compromises current and future grant funding. Therefore, the Council carries a significant legal and ethical responsibility when accepting grant funding.

The grant notification, review and acceptance has two components:

- (1) Grant notification and review; and,
- (2) Council’s approval to accept the grant awarded.

Where Council (or its delegate) approves the acceptance of grant funding it must ensure that it is able to meet all terms and conditions as laid out in the funding agreement.

8. References & Associated Documents

Federation Council Grant Management Procedure
Federation Council Grant Enquiry Checklist
Federation Council Grant Assessment Form
Federation Council New Account/Project Budget Request Form
Federation Council Grant Application Form
Federation Council Project Brief Template

9. Policy History

Version	Date	Changes / Amendments
1	28/9/21	Policy Adoption date

10. Reviews

Every two years or two years from the date of last amendments.

NOTE: This is a controlled document. If you are reading a printed copy please check that you have the latest version by checking it on Councils Electronic Document system. Printed or downloaded versions of this document are uncontrolled.