

Grant Management Policy



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Part 1 – Definitions

Council	Refers to Glen Innes Severn Council
CSP	Refers to Council’s Community Strategic Plan
External Funding	Refers to funding provided by an external funding body in the form of a grant or donation
Community Projects	Refers to projects to be managed by a community group
Council Projects	Refers to projects to be managed by Council
Project Business Case	Refers to the business case of a project seeking grant funding and for including in grant applications
Project reports	Refers to any relevant milestone reporting requirements to be provided to the funding body outlined in the funding agreement
Funding Body	Refers to the body issuing the funding or grant
Funding agreement	Refers to the agreement between the funding body and the grantee. This agreement may be in the form of a contract, agreement, deed, or agreed or implied terms and conditions.
Financial acquittal	Refers to a statement of receipts and expenditure in line with the requirements of the funding agreement
Grant Register	Refers to Council’s official Grants Register
Grants Management Process Map	Grants Management Process mapped on a page

Part 2 - Purpose

The purpose of this policy is to promote the efficient, effective, and prudent use and management of public resources. Glen Innes Severn Council (Council) aims to actively secure external funding to support its strategies and community endeavours in line with Council’s Community Strategic Plan (CSP) and Delivery Program. Further, Council will be fiscally accountable and transparent in the way in which it allocates, manages, monitors, and reports its grant activities and outcomes.

This document sets out Council's policy and procedures pertaining to the application, acceptance and management of designated funding and grants.

Part 3 - Applicability

This policy applies to employees (including contracted employees/consultants) of Council who are applying for external funding.

Part 4 - Outcomes

The Grant Management Policy is guided by the NSW Grants Administration Guide (March 2024) and ensures that Council's grant management:

- delivers value for public money in achieving the grant's stated purpose/s,
- is robust in its planning and design,
- adopts key principles of transparency, accountability, and probity, and
- is outcome oriented.

Part 5 - Roles and Responsibilities

1. Grants Officer

Council's Grants Officer is responsible for:

- (a) Identifying available grants to fund appropriate community and Council projects.
- (b) Liaising with council officers across all departments, including technical experts and the finance department in the preparation and management of Council grants.
- (c) Ensuring that applications are submitted on time, are in line with granting body guidelines and comply with Council policies and procedures and that all grants submitted for funding are recorded on Council's Grants Register and that Council's Management Accountant is notified.
- (d) In consultation with the relevant Director, Council's Management Accountant, Council Managers and Council's Chief Financial Officer, the Grants Officer assists with the acquittal of all grants applied for and ensures that all reporting requirements have been completed in accordance with the funding agreement and are approved by the General Manager and required signatories.

2. Service Manager / Project Manager

The Service Manager or Project Manager is responsible for:

- (a) Managing the project budget, adhering to external funding guidelines, and following Council's Grant Management, Project Management and Sustainable Procurement policies and procedures.

- (b) Liaising with their Director, Department Manager, the General Manager, the Chief Financial Officer, and external stakeholders as required.
- (c) Meeting all designated internal and external funding application deadlines.
- (d) Updating Council's Grants Register and notifying council's Management Accountant of any grant variations.
- (e) Adhering to Council's policies and procedures.
- (f) Taking the lead in managing the project, including monitoring all expenditure against the approved project budget/account to ensure compliance with the funding agreement.
- (g) Notifying Council staff and project stakeholders of any actual or proposed changes to the executed funding agreement, including, but not limited to, expenditure of funds, project extensions, etc.
- (h) Submitting milestone and final project reports to the funding body as per requirements outlined in the funding agreement.
- (i) Providing the Director and Chief Financial Officer with a link to all reports for review.
- (j) Ensuring that financial reporting is approved by the Chief Financial Officer and is submitted as obligated in the funding agreement.
- (k) Producing financial acquittals and ad hoc financial reports in consultation with the Chief Financial Officer, Director and/or the General Manager: and
- (l) Notifying the Management Accountant/CFO when an external audit is required following acquittal as per funding body requirements.

3. General Manager

The General Manager is responsible for:

- (a) Approving the grant's Project Business Case, and as required, recommending further progression of the project proposal. This can be either to progress to the funding application stage, or where a co-contribution is required, seek endorsement from Council, via a Council resolution in support of the Project Business Case.
- (b) Endorsing all funding applications, signing off on funding agreements and variations to funding agreements.
- (c) Approving the allocation of resources, infrastructure, and requirements to meet grant funded projects to ensuring successful project delivery.

4. Chief Financial Officer

The Chief Financial Officer is responsible for:

- (a) Reviewing the grant project business case and providing signoff on the grant application budget.
- (b) Where co-contribution is required, provide advice to the General Manager and Councillors.

- (c) Providing general oversight of the grant project budget and for financial reporting of grant funds.
- (d) Reviewing grant funding, monitoring progress and providing sign off on grant acquittals.

Part 6 - Policy Statement

Council aims to actively secure external funding to support its strategies and community endeavours in line with Council's CSP and Delivery Program.

Further, Council will be fiscally accountable and transparent in the way in which it allocates, manages, monitors, and reports its grant activities and outcomes.

This document sets out Council's policy and procedures pertaining to the application, acceptance and management of designated funding and grants.

The attached Grants Management Process Map provides a one-page overview of Council's grants management process.

Part 7 – Procedures

1. Procedures for Funding Applications (Pre-Award)

1. All applications for external funding, including applications to Transport for NSW (TfNSW) and Infrastructure Renewal funding must comply with Council's policies and procedures and follow the relevant guidelines and funding rules of the funding body.
2. Proposals for funding in the form of a Project Business Case must be approved by the General Manager and where Council is required to provide a co-contribution, the Project Business Case must be approved by Council.
3. The relevant Director is responsible for ensuring the project is strategically and financially acceptable to the service budget.
4. All applications are required to undergo a full evaluation and budget check coordinated with the Chief Financial Officer prior to approval by the General Manager and submission to the Funding body.
5. The General Manager retains the right to defer a submission of any application if it is deemed the application is not up to a competitive standard or is harmful to the Council in any way, including potential damage to the integrity or reputation of Council.
6. Once a funding application is submitted, regardless of the outcome, the application must be recorded on Council's Grant Register by the Grants Officer or their delegate.

2. Procedures for the Acceptance of Funding (Post-Award)

1. The Department Manager/Project Manager will work with the funding body to formally co-ordinate the acceptance of an offer of funding.
2. For compliance, audit and legal reasons, all related funding agreements and variation negotiations must be documented in writing, either by a fully executed agreement, or signed correspondence.
3. All funding agreements and variations to funding agreements must be reviewed by the relevant Director.
4. The establishment and execution of a funding agreement must be signed off by the General Manager.
5. Council's Grants Register must indicate that the Grant is active and who the Project Manager is.

3. Procedures for the Management of Grant Projects and Grant Funds

1. The relevant Director will assign a project manager, to deliver the grant funded project in accordance with applicable Council policies and procedures.
2. The assigned project manager must ensure that their activities fit within the parameters of the funding agreement; such as how funds are to be spent, including expenditure against approved budget headings.
3. The project manager must establish project management documentation using Council's project management framework and templates in compliance with Council's Project Management Policy and procedures.
4. Any variations to a funding agreement must be documented and in accordance with the funding agreement following a formal request from the project manager or funding body.
5. The Project Manager notifies Finance where a **variation** to a Grant has been approved. The variation will be noted on the Grants Register by the Management Accountant.
6. Council's Grants Register will be monitored, reviewed and maintained by Council's Management Accountant reporting to the CFO, in consultation with Council's Grants Officer.
7. Project managers/service managers are responsible for implementing funded projects according to the terms and conditions of funding agreements, including meeting project milestones, outputs and conforming to project budgets.
8. It is the responsibility of the project manager to inform the Department Manager and/or Director and Council's Management Accountant of any changes to the project that deviates from those previously agreed to with the funding body.

4. Procedures for the Completion of Grant Funded Projects (Acquittal)

1. Project managers are responsible for preparing progress and final project reports.

2. All funds must be expended in accordance with the funding agreement conditions.
3. Project Managers must notify the Management Accountant and Grants Officer on the completion of Grant Funded Projects to ensure that requirements for acquittal are complied with and that the Grants Register is up to date.
4. In compliance with the funding agreement and/or as specified within the funding agreement, completed projects must go through an acquittal process, and any unspent funds must be distributed as per the contractual specifications.
5. If the funding agreement is silent on remaining funds at the completion of the project, the remaining funds may be used at the discretion of the General Manager.
6. Project managers and the Chief Financial Officer are responsible for invoicing funding bodies for grant monies and ensuring project accounts are credited accordingly.

5. Summary of Procedures

The Grants Management Process Map (Annexure A) provides a single overview of council's grant management process and procedures.

Stage	Responsibility	Procedure
Approval to apply	Council General Manager Manex Directors Service Manager Manager Infrastructure Delivery	<ol style="list-style-type: none"> 1. Grants Officer notifies relevant staff of potential grants in line with Delivery Program Principal Activities – except for TfNSW and/or Infrastructure Renewal funding which are managed by the Manager Infrastructure Delivery/Director Infrastructure Services. 2. Grants Officer prepares a business case in consultation with the relevant Director and Manager/s – except for TfNSW/Roads and Bridges Grants, where Manager Infrastructure Delivery prepares the business case. 3. General Manager signs off on business case and where a co-contribution is required, seeks Council's endorsement to apply.
Development of application and budget	Grants Officer Director/Manager CFO/Management Accountant Manager Infrastructure Delivery	<ol style="list-style-type: none"> 1. In line with funding body guidelines and instructions the Grants Officer prepares a funding application with the assistance of relevant stakeholders. 2. TfNSW or Infrastructure Renewal applications are the responsibility of the Manager for Infrastructure who prepares the funding application and submits the application. 3. Grants Officer submits a draft grant application (including project plan) and budget to the Chief Financial Officer or Management Accountant for input and advice.

GRANT MANAGEMENT POLICY

Stage	Responsibility	Procedure
Review process and compliance review	Director Service Manager	<ol style="list-style-type: none"> 1. Director or Service Manager reviews and assesses the project in line with council's risk management framework. Director or Service Manager provides technical advice and input. 2. Grants Officer makes final amendments as advised.
Internal approval process	Grants Officer Director General Manager	Funding application is reviewed and approved by General Manager prior to submission to the funding body.
Submission	Grants Officer Management Accountant Manager Infrastructure Delivery	<p>Grants Officer submits the grant application in line with the granting body's requirements, notifies Council's Management Accountant and enters the Application into the Grants Register.</p> <p>TfNSW and/or Infrastructure Renewal Projects are submitted by the Manager Infrastructure Delivery who notifies the Management Accountant who updates the Grants Register as required.</p>
Successful grant applications	Grants Officer Management Accountant Manager Director General Manager CFO Manager Infrastructure Delivery.	<p>Successful grants must be:</p> <ol style="list-style-type: none"> 1. Reported to Council. 2. Recorded in Council's Grants Register. 3. Have a project manager allocated. 4. Recorded in Council's Project Management Register. 5. Managed in accordance with relevant Council policies and procedures such as the Risk Management Policy, Procurement Policy, Records Management Policy and Project Management Policy, 6. Monitored regularly with regular review and oversight of budget expenditure against milestones. 7. Status reports provided in line with granting body requirements. 8. Acquitted with all funds expended in line with fund body requirements.
Acquittals	Grants Officer Manager for Infrastructure & Delivery Service Manager Project Manager Management Accountant CFO External auditor	<p>All grants must be acquitted with all funds expended in line with funding body requirements.</p> <p>Service Manager/Project Manager or Manager for Infrastructure Delivery will notify the Management Accountant when a grant funding project is ready for acquittal.</p> <p>Acquittals are managed by the Management Accountant and signed off by the CFO.</p> <p>Where an external audit is required the Management Accountant must be notified with time for an external audit to be scheduled.</p>

Part 8 - Legislation and Supporting Documents

1. Relevant Legislation, Regulations and Industry Standards include:

- *Local Government Act 1993*

2. Relevant Council Policies and Procedures include:

- The Grants Management Process Map - provides an overview of council's grant management process.
- Community Strategic Plan, Delivery Program and Operational Plan
- Resourcing Strategy – which is made up of Council's Long Term Financial Plan, Asset Management Strategy, and Workforce Planning Strategy
- Project Management Framework
- Procurement Management Policy and Procedures
- Risk Management Policy and Plan
- Contract Management Policy and Procedures
- Records Management Policy and Procedures

Part 9 - Variation and Review

The Grants Management Policy will be reviewed in June 2025, or earlier if deemed necessary, to ensure that it meets the requirements of legislation and the needs of Council. The term of the Policy does not expire on the review date, but will continue in force until superseded, rescinded or varied either by legislation or a new resolution of Council. The application of this policy can only be varied in extenuating circumstances with the approval of the General Manager

Appendix A

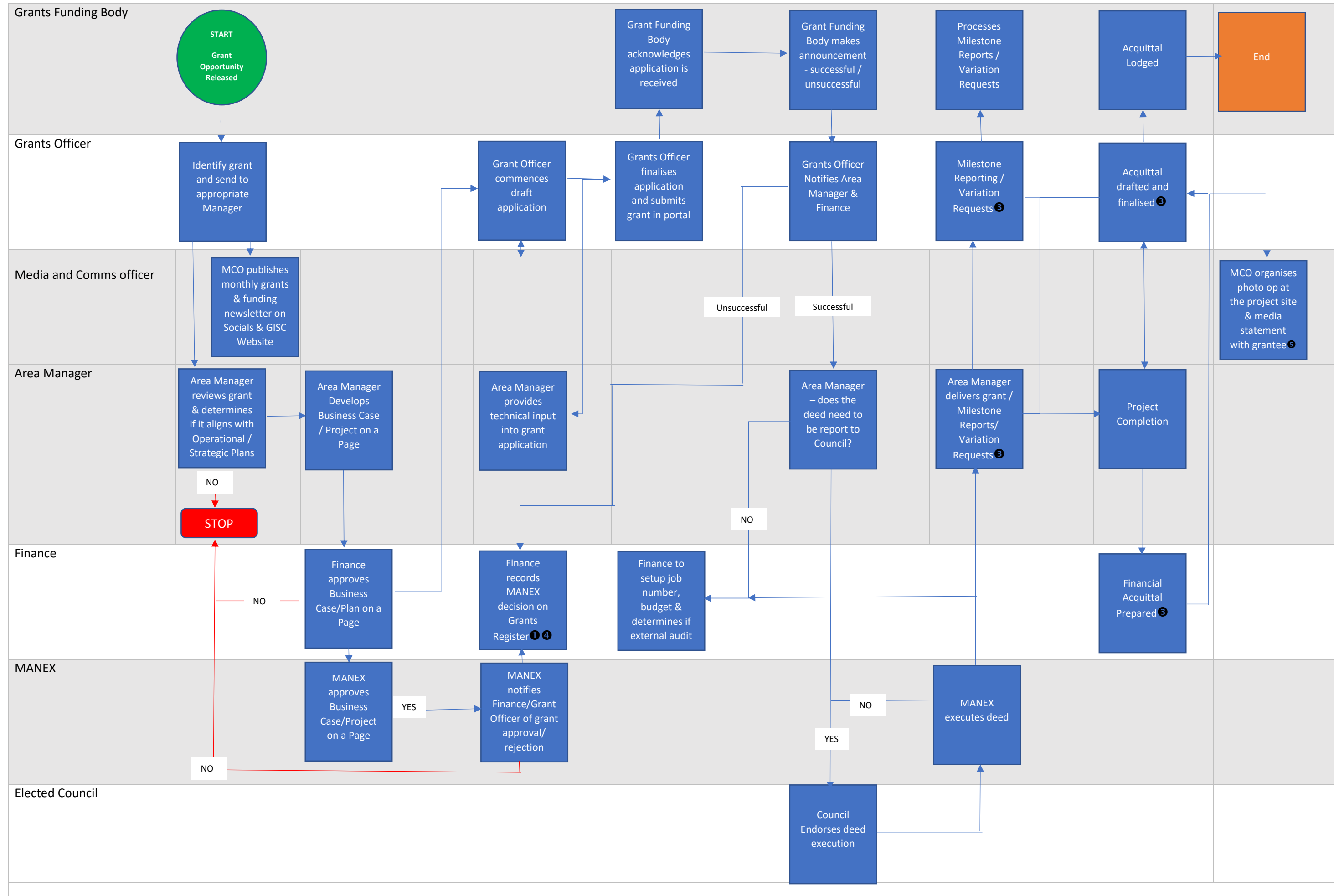
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Annexure A

Grants Management Process Map

GISC Grants Process



GISC Grants Process

❶ Grants register to be developed by Finance in conjunction with the Grants Officer

❷ Finance to develop a form once grant has been executed to:

- set up Job Card/s
- allocate job number
- determine if external audit it required (if so engaged auditor)
- has budget already been approved or is a QBR required?
- What are the project and payment milestones?
- What is the grant funding project number?
- How are staff wages to be recorded against the job number?

❸ Monthly grant meetings between Grants Officer, Finance and Area Manager

❹ Monthly grant register to be submitted to MANEX Monthly

❺ MCO may need to provide joint media statements between GISC & Funding body on the progress throughout the project delivery – at which time will need to liaise with the grant officer and area manager