

## Grant Management Policy

*Yarriambiack Shire Council encourages a working environment which promotes gender equality and models non-violent and respectful relationships.*

### 1 Objective

The policy covers all external funding including funding awarded by State and Federal Government, private industry and the community sector. This policy applies to all those within Yarriambiack Shire Council applying for external funding, including all staff and contract staff, employed by Yarriambiack Shire Council.

### 2 Responsibility

#### 2.1 Project Officer

- Responsible for managing the project budget, adhering to external funding guidelines and following Council policy and procedure.
- Responsible for liaising with their Director, Department Manager, the Chief Executive Officer, the Manager Corporate Services and external stakeholders if required.
- Responsible for meeting all designated internal and external funding application deadlines.
- Responsible for adhering to the Project Management Framework requirements for project management.
- Take the lead in managing the project, including monitoring all expenditure against the approved project budget/account to ensure compliance with contracts/agreements.
- Notify Department Manager and Manager Corporate Services of any actual or proposed changes to the executed contract/agreement, including, but not limited to, expenditure of funds, project extensions, etc.
- Submit milestone and final project reports to the funding body as per requirements outlined in the funding agreement. Provide Department Manager and Corporate Services with a link to all reports for review.
- Ensures that financial reporting is submitted as obligated in the contract/agreement.
- Produce financial acquittals and ad hoc financial reports in consultation with the Manager Corporate Services: and
- Arrange external audits as per funding body requirements.

#### 2.2 Chief Executive Officer

- Through the approval of the Project Business Case, the Chief Executive Officer recommends further progression of the project proposal. This can be either to progress to funding application stage, or where a co-contribution is required, endorsement from Councillors, via a Council resolution in support of the Project Business Case is required.
- Must endorse all funding applications, sign off on funding agreements and variations to agreements.
- Has primary responsibility for approving the budgetary implications and infrastructure requirements should the grant application be successful.

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### 2.3 Councillors

- Councillors are responsible for reviewing and endorsing a Project Business Case, where there is a Council revenue co-contribution required.

### 2.4 Directors

- Directors are responsible for ensuring they have approved the Business Case prior to submission to the CEO and if applicable, Councillors for endorsement.

### 2.5 Department Managers

- Responsible for overseeing the co-ordination of the funding application, including the budget, adhering to external funding guidelines and following Council policy and procedure.
- Responsible for ensuring the funding application is recorded on Council's Grants Register.
- Provide a compliance check of the full proposal before submission to the funding body.
- Monitors expenditure against approved project budgets/accounts, to ensure expenditure is compliant with contracts/agreements and funding guidelines.
- Ensures that financial reporting is submitted as obligated in the contract/agreement.
- Coordinates negotiations pertaining to variations, extensions and carry-overs.

### 2.6 Corporate Services

- Provides oversight and support for financial reporting.

## 3 Policy Statement and Scope

Yarriambiack Shire Council aims to actively secure external funding to support our strategies and community endeavours. Further to this, Council will be fiscally accountable and transparent in the way in which it allocates, manages, monitors and reports its activities and outcomes.

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

### 3.1 Applications for Funding (Pre-Award)

All applications for external funding must comply with Council's policies and procedures and follow the relevant guidelines and funding rules of the funding body.

Proposals for funding in the form of a Project Business Case must be approved by the Chief Executive Officer.

Where Council is required to provide a co-contribution, the Project Business Case must be approved by Council.

The Department Manager is responsible for ensuring the project is strategically and financially acceptable to the budget area.

All applications are required to undergo a full evaluation and budget check coordinated with the Corporate Services Department prior to Chief Executive Officer endorsement and submission to the Funding body.

The Chief Executive Officer 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 Yarriambiack Shire Council.

Once a funding application is submitted, regardless of the outcome, the application must be recorded on Council's Grant Register by the Department Manager or their delegate.

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### 3.2 Acceptance of Funding (Post-Award)

The Department Manager will work with the funding body to formally co-ordinate the acceptance of an offer of funding. For compliance, audit and legal reasons, all related contract/agreement and variation negotiations must be documented in writing, either by a fully executed contract or agreement, or signed correspondence.

All contracts, agreements and variations must be reviewed by the Department Manager.

The establishment and execution of a funding contract or agreement must be signed off by the Chief Executive Officer.

### 3.3 Management of Funds

The assigned Project Officer must ensure that their activities fit within the parameters of the project contract/agreement. Contracts and agreements specify how funds are to be spent, including expenditure against approved budget headings.

Any changes to a contract/agreement must be documented in a revised contract or variation following a formal request either from the Project Officer or Funding Body.

Project Officers are responsible for implementing funded projects according to the terms of funding contracts, including meeting project milestones, outputs and conforming to project budgets.

It is the responsibility of the Project Officer to inform Department Managers of any changes to the project that deviate from those previously agreed to with the funding body.

### 3.4 Completion of Projects (Acquittal)

Project Officers are responsible for preparing progress and final project reports.

All funds must be expended in accordance with the funding agreement conditions.

Where specified within the funding agreement/contract completed projects will go through an acquittal process, and any unspent funds must be distributed as per the contractual specifications. If the contract is silent on remaining funds at the completion of the project, the remaining funds may be used at the discretion of the Chief Executive Officer.

Project Officers are responsible for invoicing funding bodies for grant monies and ensuring project accounts are credited accordingly.

### 3.5 Summary of Actions

Action	Responsibility	Comments
Approval to Apply	Directors Chief Executive Officer Councillors	Project Officer discusses potential grant and associated project with their Department Manager.  Project Officer prepares a Project Business Case.  Directors must review and endorse Business Case prior to escalation to CEO.  Chief Executive Officer signs off on Project Business Case, and where a co-contribution is required, seeks Councillor endorsement to apply for funding (via a Council Resolution).

Action	Responsibility	Comments
Development of Application	Project Officer	Adhering to funding body guidelines and instructions to applicants. Project Officer prepares supporting documents as required.
Development of Budget	Project Officer Department Manager Manager Corporate Services	Project Officer submits draft project budget (included in Project Plan) to Manager Corporate Services who provides comment and advice on the draft project budget/s.  If required, the Project Officer makes amendments to the draft budget, following advice provided.
Review	Department Manager	Department Manager reviews and provides feedback, including technical content.
Final Preparation & Compliance Review	Project Officer Department Manager Chief Executive Officer	Project Officer makes final amendments to the application.  Department Manager provides a final compliance check of the full proposal before submission to the funding body.
Submission	Project Officer CEO	In most cases, the CEO signs the application to the funding body. In some instances, particularly for online applications, the Project Officer will be the authorised person. The endorsement of the submission can be via an email acknowledgement that is to be uploaded into the Records Management system.  At any time the CEO has the discretion to defer applications that have not been submitted through the appropriate channels or the application has included unauthorised commitments, such as cash or in-kind support.

#### 4 References

- a) Priority Project Framework
- b) Procurement Policy
- c) Procurement Management Manual
- d) Delegations and Authorisations
- e) Project Management Policy and Procedure
- f) Risk Management Manual
- g) Asset Lifecycle Policy
- h) Budget Framework and Guidelines Manual (revised each year)
- i) Finance and Payroll Management Manual
- j) WorkflowMax Project and Financial management Manual
- k) Grant Management Guidelines – rescinded on 24 May 2023. Information incorporated into the revised Grant Management Policy adopted on 24 May 2023.

#### 5 Definitions

Term	Definition
<b>Funding</b>	Money provided, especially by an organisation or Government, for a particular purpose.
<b>Grant</b>	The term generally refers to funding obtained through a competitive process run by government, corporations, industry or charitable foundations.
<b>Project Officer</b>	The person in overall charge of the planning and execution of a particular project.
<b>Department Manager</b>	Line Manager responsible for a designated budget area.
<b>Project Business Case (Mandate)</b>	A preliminary document that captures and defines the core project objectives, scope, deliverables, budget and schedule to enable evaluation and approval for the project.
<b>Project Plan</b>	A detailed document that captures and defines the core project objectives, scope, deliverables, budget and schedule so that agencies and clients alike can work together to achieve a focused, desired outcome.
<b>Funding Body</b>	An organisation or department that provides funds for a particular purpose.
<b>Project Evaluation</b>	A systematic and objective assessment to determine the strategic priorities, identified need, risk, ongoing cost, cultural, heritage and environment aspects of the proposed project.
<b>Funding Agreement</b>	A Funding Agreement is a legal document that outlines the terms, conditions and obligations of funding and accountability for both the funding body and recipient.

## 6 Consistency with Governance Principles Local Government Act 2020

Governance Principle	Section of policy where covered
(a) Council decisions are to be made and actions taken in accordance with the relevant law;	Section 8 - Authorisations, Delegations and Procurement Policy requirements, along with Governance Principles are all outlined in the Local Government Act 2020.
(b) priority is to be given to achieving the best outcomes for the municipal community, including future generations;	Section 1, 2 & 3 – Outline of how a project is approved and supported. Projects require a business case to be supported. The business case outlines link to Council’s strategic priorities.
(c) the economic, social and environmental sustainability of the municipal district, including mitigation and planning for climate change risks, is to be promoted;	Section 1, 2 & 3 – Outline of how a project is approved and supported. Projects require a business case to be supported. The business case outlines link to Council’s strategic priorities and risks, including environment and sustainability risks.
(d) the municipal community is to be engaged in strategic planning and strategic decision making;	Section 1,2 & 3 – Council has an adopted Priority Projects Framework that identifies how community lead projects are received and registered on Council’s priority project list. The community is consulted in the development and updating of Council’s – Council Plan.
(e) innovation and continuous improvement is to be pursued;	Section 3 – Outlines the requirement for a business case to be present to CEO and or Council, which encourages innovation.
(f) collaboration with other Councils and Governments and statutory bodies is to be sought;	This policy outlines the application process for grants, which are often administered by Federal and State Government departments and or agencies.
(g) the ongoing financial viability of the Council is to be ensured;	This Policy outlines for Grant Funding to be applied for a business case is required, with review by Council’s Manager Corporate Services (Principal Accounting Officer)
(h) regional, state and national plans and policies are to be taken into account in strategic planning and decision making;	Business Cases refer to the strategic vision of stakeholder documents and plans and seeks commentary on the alignment.
(i) the transparency of Council decisions, actions and information is to be ensured.	This Policy outlines the process for grant funding applications, and the transparency of decision making.

In giving effect to the overarching governance principles, a Council must take into account the following supporting principles—

- (a) the community engagement principles;
- (b) the public transparency principles;
- (c) the strategic planning principles;
- (d) the financial management principles;
- (e) the service performance principles.

## 7 Policy Review

This policy will be reviewed in conjunction with its associated procedures every three years.

## 8 Legislative Context

The principal legislation in Victoria governing the establishment and operation of councils is the Local Government Act 2020.

## 9 Council Approved Policy

<b>Policy Adopted:</b>	CEO Approved 28 August 2019	CEO Name Jessie Holmes	
<b>Policy Reviewed:</b>	Ordinary Meeting 24 May 2023	Item number 15.6	Page Number 34