



Grants and Sponsorships Policy

Responsible Officer	Adoption Date	January 2022
Manager Community and Recreation	Approved By	Council
Authorising Officer	Review Date	January 2025
Director Infrastructure Services	Policy Type	Council Policy

Statement and Purpose

This policy outlines the approach to Council's delivery of Grants and Sponsorship Programs ("Programs") to the community.

The policy reflects the commitments of Council made in the Council Plan 2021-2025 and Council Vision to improve and develop facilities, social connections, arts and culture, mental and physical health, environmental sustainability, heritage, public events and general liveability within the Rural City of Wangaratta. It also reflects Council's commitment to continuous improvement for its grant programs as noted in the Council Plan.

This policy will be supported by a set of procedures that will guide responsible officers in the coordination and administration of these programs.

Scope

Council provides funding opportunities for the community by way of one off grant programs and longer term sponsorship arrangements. This policy formalises the arrangements for both grants and community sponsorships, and applies to all Council staff, and agents of Council who are involved in the administration of Council sponsorships, grants and related funding.

Policy

COMMITMENT TO DISTRIBUTION OF FUNDS

Council is committed to distributing financial assistance in the form of community sponsorships and grants in a transparent, cohesive, and fair manner. Council's objective is to ensure that there are clear guidelines around the financial assistance it provides to the community.

All such Programs delivered by Council will be guided by this policy and the corresponding documents including the procedure and guidelines for applicants.

Council recognises that the Programs are an important component of our continuing support for the community. The Programs empower local organisations and businesses to be

drivers of projects, events or activities that are important to them and support Council's vision for a connected, accessible, healthy and vibrant community.

Council's financial assistance and sponsorship programs provide a way to support the community and to maximise their contributions to the wellbeing of the Rural City of Wangaratta.

FUNDING CATEGORIES

This policy will apply to the following programs:

- Community Grants
- Active Wangaratta Grants
- Individual Athlete Funding Program
- Tourism Events Grants
- Community Sponsorships
- Any other grant or funding programs organised by Council with the exception of Local Tourism Association and Business Investment support funding, and the Marquee Events and Events Attraction Fund which have their own guidelines and governance.

POLICY PRINCIPLES AND APPLICATION

Council will apply the following principles to all grant and sponsorship agreements. That the distribution of funds:

- promotes the strategic objectives and goals identified in the Council Plan, Vision, and other strategies;
- supports organisations that provide diverse and effective local services, facilities and activities;
- positively contributes to the way the community view Council and its services;
- is fair and free from bias, conflict of interest or any other form of influence, and
- is properly recorded and reported on.

Grants

A grant is a form of financial assistance that funds an individual or organisation to develop a specific project. These are one-off funding arrangements designed to assist with the delivery of projects and events for the benefit of the Rural City of Wangaratta.

Council seeks to maximise the return on investment by ensuring that the grant program is managed efficiently, and that resources and funds are distributed effectively to best meet the needs of the local community. This document contains guiding principles that the Grants process will be guided by. For more detail on implementation of these principles, refer to the Grants Distribution Procedure (Attachment A).

GRANTS APPLICATION PROCESS

The Grant Application Process will vary depending on the timeline and goals of the specific grant program. However, to ensure accessibility and fair access:

- Grant open and closing dates for each financial year will be published on Council webpages as soon as reasonably practicable,
- Grant applications will be made available online as well as through Council's Customer Service team wherever possible,
- Grant eligibility criteria including funding amounts and limitations to the program will be provided and published alongside the applications, and
- Council officers will make themselves available to discuss the criteria of each program as needed and advertise any formal sessions through Council webpages and other media.

All grant applications should include at minimum questions that align with the following:

- Does the proposed application support the strategic objectives and goals identified in the Council Plan, Vision, and other strategies. Does it positively contribute to the community?
- Is the proposed activity/application deliverable by the organisation?
- Is the scope of the project reasonable and achievable within the timeline for the grant program?
- Does the application include quotations and a project plan?
- Does the applicant seek to use local suppliers where possible (In line with the RCoW Procurement Policy)?
- Does the application align with Council's sustainability goals (In line with the RCoW Procurement Policy)?
- Has the organisation met their acquittal requirements for previous grants or funding received from Council?

GRANTS ASSESSMENT AND EVALUATION

All applications received by the advertised closing date will be assessed against the advertised eligibility criteria prior to being considered. Applications received after the closing date will not be accepted.

An evaluation panel will then consider all eligible applications against a set of criteria specific to that grant program prior to making a set of recommendations for funding.

Each evaluation panel will consist of no fewer than three Council Officers, and all members will need to ensure they have no material conflicts of interest with the grant applicants. Conflicts of interest must be managed according to advice from Governance and aligned with any Conflict of Interest Policy adopted by Council.

Consideration should be made to the gender equity of the panel where possible.

Councillors shall not be included as a part of grant or sponsorship assessment panels as they are the final approvers of all grants awarded by Council. To be involved in the assessment panel would be a conflict of interest.

The recommendations will be presented to Council or to an appropriately delegated Council officer to make a final decision.

No grant funds will be distributed until the grant recipient has completed a funding agreement form including the terms and conditions of the grant. (Attachment B)

GRANTS IMPLEMENTATION AND ACQUITTAL

Council want to see successful outcomes through the grants program. The Funding Program Administrator will request periodic status updates from recipients, no less than once per funding period. Additional support such as training for recipients may be developed based on community needs and trends.

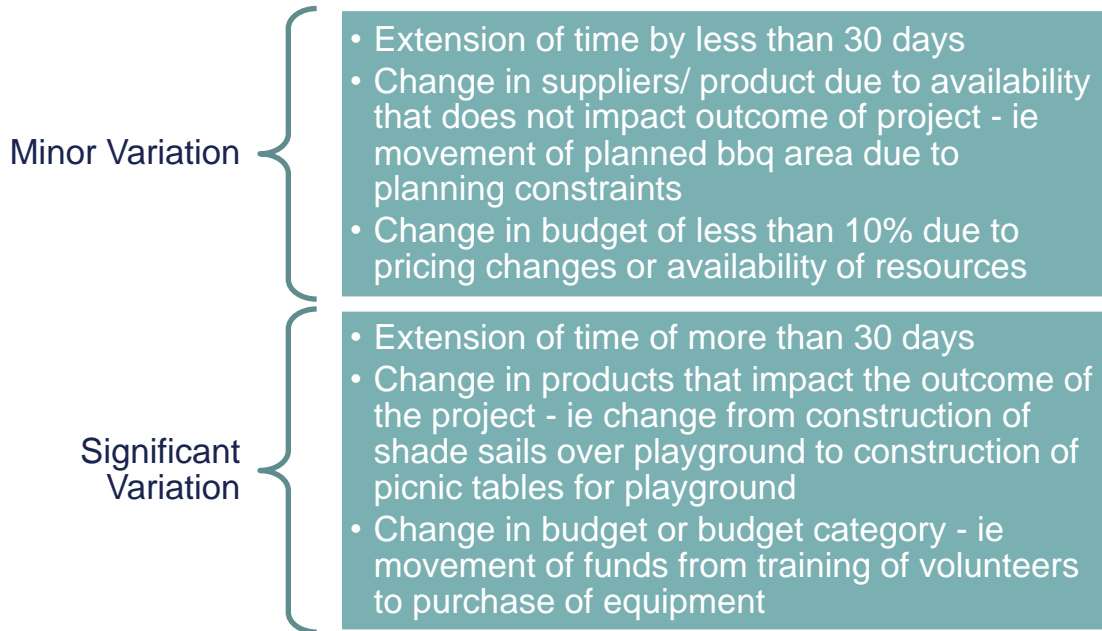
This also includes the proper acquittal of grants to ensure that funds are used for their intended purpose. The acquittal process and expectations will be outlined to grant recipients before funds are awarded. Acquittal information will be reviewed, approved and recorded by Council staff..(Attachment C)

Council understands that sometimes situations will arise where funds cannot be spent in the manner outlined in the application. Grant recipients will need to complete a variation form to be submitted to Council for approval and will be advised to not proceed with works until the variation is reviewed and approved. (Attachment D)

A variation form will at minimum include an outline of the change, a description of how the change will impact the project, and a description as to how the changes are being managed.

If the variation is minor change in timeline or scope and does not alter the intended outcome of the Grant, it can be reviewed by the Funding Program Administrator before a recommendation being made to the Funding Program Manager. If the variation is a substantial change, the variation form will be submitted to no less than two members of the original grant assessment committee for review and approval along with a recommendation from the Funding Program Administrator. If the original committee members are not available, their respective Manager or Director may be nominated to complete the review.

Examples of minor and significant variations:



If the variation is approved the recipient will be notified in the change to their funding terms and conditions. If the variation is not approved, and the recipient is unable to complete works according to the scope of the original application then the granted funds will need to be returned to Council within a specified financial period.

GRANT AUSPICING

Community organisations without their own incorporation often approach the Rural City of Wangaratta to auspice their grant application for an external grant program. There is a risk to Council in auspicings grants, as Council is ultimately responsible for the delivery and acquittal of the awarded grant.

Based on this, auspicings requests should be considered against the following:

- Does the proposed application support the strategic objectives and goals identified in the Council Plan, Vision, and other strategies. Does it positively contribute to the community?
- Is the proposed activity/application sustainable or deliverable by the auspice organisation?
- Is the scope of the project reasonable and achievable within the timeline for the grant program?
- Does the application include quotations and a project plan?
- Does the organisation need assistance with delivery of the project, and does Council have the capacity to provide that support?
- Has the organisation met their acquittal requirements for previous grants or funding received from Council?

If these considerations are met satisfactorily, then the recommendation will be presented to a Director or CMT for approval. Financial delegation for approvals shall align with the Rural City of Wangaratta current Grant application approvals.

The organisation will be provided with an auspice agreement to sign (Attachment E) The agreement will outline that the auspice organisation is responsible for all reporting, funds, and overspends on the project. It will also outline any agreed project management or other contribution from Council as agreed. The Auspice agreement must be returned before the grant application is submitted. Failure to follow this process may negatively impact future grant applications and/or auspice requests.

Sponsorships

COMMUNITY SPONSORSHIP DISTRIBUTION

The Rural City of Wangaratta is committed to working in partnership with community stakeholders to nurture and develop the vitality of communities through support for programs and projects with community outcomes which align to its Council Plan. Longer term partnerships with the community are a part of delivering strategic outcomes for Wangaratta.

In support of the above, Council commits to supporting on-going financial assistance across the term of the Council Plan in the form of Community Sponsorships to Community Organisations to deliver specified programs and events that deliver on priorities identified in the Council Plan.

COMMUNITY SPONSORSHIP IMPLEMENTATION AND ACQUITTAL

Current Sponsorships

Each year a report on existing sponsorships will be presented to Council for approval. Council approved sponsorship recipients will be asked to complete a funding agreement, which will include annual financial acquittal for each organisation and scheduled disbursements. (Attachment F)

New Sponsorships

In order to maximise community partnerships and delivery of the Council Plan, beginning in 2022 and after the completion of each new Council Plan, Council will conclude their current sponsorship agreements and open the sponsorship program up for application.

This application and evaluation process will run in line with the Grants Application and Approval process.

This will include releasing information on the amounts and terms of funding available, the criteria sponsorship applications will be considered against, alignment with the Council Plan and any other specific requirements as decided upon and published.

The program should remain open for no less than one month and should run alongside the Community Grants Program.

Applications will be considered against the following at minimum:

- How the proposed funding aligns to the Council Plan
- Is the proposed activity/application sustainable or deliverable by the organisation?
- Does the application include a budget and a project plan?
- Has the organisation met their acquittal requirements for previous grants or funding received from Council?

Community organisations will be able to apply for a maximum of \$10,000 funding a year for up to four years to fund their community programs or regular community events.

The Assessment should give consideration to a variety of funding options for the programs including:

- Awarding a decreasing tranche of funding over the term of the MOU
- Limiting the terms where appropriate to a shorter period – ie where the activity is to deliver a two year program, to award the funding for those two years only.

Approved organisations will be asked to complete a Memorandum of Understanding with Council, agreeing to reporting requirements, and the proposed funding term.

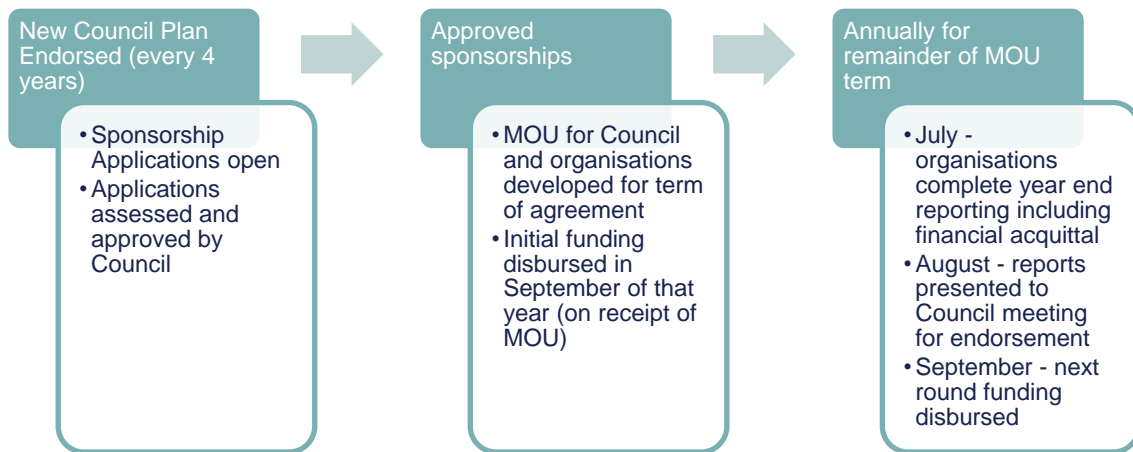
Acquittal and Disbursements

Organisations will need to report annually by 15 July acquitting the use of their funds for the previous financial year, and acquittals will be approved and recorded by Council officers.

A yearly report on sponsorships will be provided at the August ordinary Council meeting each year for approval. Disbursement of the next round of funds will occur in September of each year following those these approvals.

Annual Budget Submissions

The Community Sponsorship process would not preclude organisations from making an annual budget or project submission. However, such submissions should be considered against the same criteria as the Community Sponsorships. Once reviewed in this manner a recommendation to fund or not fund can be made to Council based on the outcome of the review. Approved organisations would need to enter into a MOU for the term of their funding, and acquit and report in line with Community Sponsorships requirements.



Roles and responsibilities

Funding Program Manager

A delegated Council Officer who will be responsible for yearly review of the funding program, timeline, and communications plans. Will also be responsible for reporting to Council and CMT on trends, outcomes, and issues.

Funding Program Administrator

A delegated Council Officer who will be responsible for the implantation of the funding program activities, including implementation of communications plan, tracking applicants, reporting, coordinating assessment panels, and reviewing documents including applications and acquittals.

Assessment Panel Members

Panel members will be delegated Council Officers without a material conflict of interest in the program currently being assessed. Panel members will review applications against set criteria, and may be called upon to discuss or review their decisions with the rest of the panel, CMT, or to Council. All information the Assessment Panel is privy to is subject to confidentiality.

Workplace behaviours

The Rural City of Wangaratta is responsible for ensuring that appropriate behaviour is clearly defined and expectations are accessible and understood by all staff, contractors and volunteers.

Employee conflicts of interest

The Rural City of Wangaratta will ensure all employees involved with the grant process declare any conflicts of interest. Material conflicts may preclude involvement in the program by Council officers.

Privacy

Council is committed to protecting an individual's right to privacy. In accordance with Council's Information Privacy Policy, personal information considered or recorded during the process of a report or investigation will respect the privacy of all individuals involved.

Breaches

Breaches of this policy may lead to disciplinary action in accordance with Councils Enterprise Agreement.

Monitoring and evaluation

All Programs will be evaluated in an ongoing manner, with an annual report presented to the Corporate Management Team summarising the program and lessons learned. Any change or update which materially impacts or alters this policy must be approved by Council following a review by the Corporate Management Team.

Definitions

Council officers	Council staff working full or part time, including temporary employees, contractors and consultants while engaged by Council
Community Organisation	A "not-for-profit" organisation or organisation with an open membership to residents of Rural City of Wangaratta.
Local Community	All residents within Rural City of Wangaratta.

Grant	A grant is a form of financial assistance that funds an individual or organisation to develop a specific project.
Community Sponsorship	A sponsorship is agreed funding arrangement that funds an organisation to support their works that align with and enable the delivery of the Rural City of Wangaratta Council Plan.
Business	A for-profit organisation within the Rural City of Wangaratta.

References

Legislation

Local Government Act 2020 (VIC)

Council

Council Plan 2021 – 2025

Review

Any change or update which materially impacts and/or alters this policy must be approved by the Coordinated Management Team (CMT). Otherwise the policy will be reviewed by the Manager, Community and Recreation every three years.

Attachments:

Attachment A – Grant Distribution Procedure


Attachment B – Funding Agreement Form (example)

Attachment C – Funding Acquittal Form (example)

Attachment D – Grant Request for Variation – Scope/Timing (example)

Attachment E – Grant Auspice Form (example)

Attachment F – Community Sponsorship Distribution Procedure

GRANT DISTRIBUTION PROCEDURE	Responsible Officer:	Manager Community & Recreation	 Rural City of Wangaratta
	Authorising Officer:	Director Infrastructure	
	Date Revised:		
	Next Review Date:		
	Approved By:		

PURPOSE

Purpose:	<p>The purpose of the Grant Distribution Procedure is to provide Council staff with a set of guiding procedures to ensure a consistent approach to the development, implementation and funding of grants across Council.</p> <p>A grant is a form of financial assistance that funds an individual or organisation to develop a specific project. These are one-off funding arrangements designed to assist with the delivery of projects and events for the benefit of the Rural City of Wangaratta.</p>
Scope:	<p>The scope of this procedure is to:</p> <ul style="list-style-type: none"> • Deliver Council's various grant programs in accordance with Council's Grants and Sponsorship policy and • Ensure grants distributed by Council are done so in a uniform manner. <p>These grants include but are not limited to:</p> <ul style="list-style-type: none"> ○ Community Grants ○ Tourism Events Grants ○ Active Wangaratta Grants ○ Other Grants as decided on by Council

GRANT FUNDING

Step	Action
1.	<p>Design of Grant Program</p> <p>Each grant program should be designed or reviewed to ensure Council achieves outcomes identified within the Council Plan and to ensure that resources are used efficiently and effectively.</p> <p>1.1 Outcomes of the Grant Program</p> <p>Outline the specific purpose or outcome of the grants program.</p> <p>For example: <i>"The purpose or outcome of the grant program is to sustain active and engaged communities within the Rural City of Wangaratta".</i></p> <p>The purpose of the program must align with Council Plan objectives.</p>

Step	Action
	<p>1.2 Goals and Outputs</p> <p>The design of the program should make it clear that goals and outputs of applications submitted will be assessed as to how they achieve the outcome of the grant program. A goal can be <i>“To have x number of people attend our event which will bring x people to visit, spend and stay in Wangaratta”</i>.</p> <p>1.3 Available Funds</p> <p>List the total amount of funds available for allocation under this program and how many rounds per year.</p> <p>Including:</p> <ul style="list-style-type: none"> • The size, timeframe and nature of grants; • State the upper and lower level of grants available; • Clarify the timeframe of what period the grants will cover; and • A list of Council support available.
2.	<p>Development of Grant Program</p> <p>Each grant program provided by Council is required to have up-to-date guidelines available for applicants.</p> <p>Content may vary for each grant but the following sections should be included in each guideline:</p> <p>2.1 Key Information</p> <p>Key information must be provided by applicants to ensure the grant program can be administered effectively. This shall include but is not limited to contact details and details about the applicant organisation.</p> <p>2.2 Eligibility</p> <p>Eligibility criteria is provided within the Financial Assistance and Sponsorship Policy and additional eligibility criteria may be necessary for the specific grant funding program. This may include specifying eligible organisations, particularly for non-competitive grant funding programs.</p> <p>2.3 Assessment Criteria</p> <p>Assessment criteria shall be established to enable the assessment and evaluation of the application as to how effectively the applicant will achieve the purpose and outcomes of the grant program.</p>
3.	<p>Delivery of Grant Program</p> <p>Each grant program will require staff member(s) responsible for delivering the program. The Funding Program Manager and Funding Program Administrator will undertake:</p>

Step	Action
	<p>3.1 Planning</p> <ul style="list-style-type: none"> • being the contact person and application support for applicants • organising advertising and promotion for individual grant rounds • ensuring guidelines are up-to-date • managing timeframes and allocation of funds <p>3.2 Application</p> <ul style="list-style-type: none"> • managing the application process • maintaining grant application records <p>3.3 Review</p> <ul style="list-style-type: none"> • organising a panel to review grant applications • preparing reports including Council reports to enable decisions to be made • recording outcomes in a Central Grants Register <p>3.4 Granting</p> <ul style="list-style-type: none"> • notifying successful and unsuccessful applicants on the outcome of the application • contract arrangements • payment arrangements • reporting and monitoring • requests for variation process • dealing with grant recipient performance issues • financial acquittals and project review including key outcomes • preparing a Council report on project review including key outcomes • publication and promotion of program outcomes • program evaluation and recording of lessons learnt.
4.	<p>Application Process</p> <p>The application form should be designed so that it only requests information needed to make decisions on the application.</p> <p>Application forms need to be tailored to the available grant. The level of detail required will depend on the funding amount and level of risk.</p> <p>Application forms, unless for grants for individuals, must include the following items:</p> <ul style="list-style-type: none"> • Name and contact details of organisation or sponsor organisation applying • response to grant program objectives • project or event management plans (where applicable) • information regarding access and inclusion • budget including in-kind support required from Council • privacy statement • must be signed by an appropriate office-bearer of the applicant organisation

Step	Action
5.	<p>Record keeping</p> <p>All grant programs must maintain a full set of records to ensure that all parts of the grants process are documented in the appropriate records management system. This includes the design of the grant program, the promotion, applications received, review and assessment processes and decision making.</p> <p>Subsequent to granting of funds, all funding agreements, reporting and acquittals must be documented and stored in the appropriate records management system.</p> <p>Documentation shall be retained in Council's electronic records management system. Elements of the process may utilise other record management systems to allow effective collaboration and program management, however final documentation must be retained within Council's electronic records management system.</p>

GRANT ASSESSMENT

Step	Action
1.	<p>Initial Assessment of Grants</p> <p>All applications received will be assessed against the eligibility criteria prior to being considered. An evaluation panel will then consider all eligible applications against set criteria prior to making a set of recommendations for funding. The recommendations will then be presented to Council or to an appropriately delegated Council officer to make a final decision.</p> <p>1.1 Assessment of Grants</p> <p>The Funding Program Manager and Funding Program Administrator will assess the applications to determine if they meet the initial eligibility criteria. The Funding Program Administrator will then produce an Assessment Report that includes all applications received and will indicate those that did not meet the eligibility criteria.</p> <p>1.2 Evaluation Panel and Conflicts of Interest</p> <p>The Funding Program Administrator will set up an Evaluation Panel. The Evaluation Panel should comprise no less than three persons, and representatives of at least two different Directorates within Council. External individuals may also be used on the Evaluation Panel. The Funding Program Administrator should not have voting rights on the evaluation panel. Councillors should be removed from the evaluation process.</p> <p>Appropriate Conflict of Interest declarations shall be declared at this stage and included in the Assessment Report.</p>

Step	Action
2.	<p>Evaluation of Grants</p> <p>The Assessment Panel will be provided with the Assessment Report, a copy of the applications and a scoring template. All members of the panel will read all of the applications and assess them against the assessment criteria specific to each grant. The Assessment Panel should score all applications and rank them in order of score. If needed, the panel can convene to discuss the ranking, assessments, and cut off points for the grant allocation, as well as review the allocation through a pre-defined balancing process.</p> <p>2.1 Evaluation Report</p> <p>The Funding Program Administrator will prepare an Evaluation Report for the Evaluation Panel summarising the findings. The Evaluation Report shall accompany a report prepared for either Council or delegated officer consideration of applications received. This should include the full report for both recommended and not recommended applications. Appropriate Conflict of Interest declarations shall be declared at this stage and included in the Assessment Report.</p> <p>Where Council endorsement is required, a Council report must be written and presented to the Corporate Management Team prior to progressing to a Council meeting. The final decision will be made by Councillors at a Council meeting.</p>
3.	<p>Notification of Grant Outcomes</p> <p>Successful and unsuccessful applicants to be advised of the outcome of the application in writing, it should include as a minimum;</p> <p>Unsuccessful letter;</p> <ul style="list-style-type: none"> • Grant program name and project name • Review process undertaken, decision made and where to find details of successful applicants • Eligibility to reapply • If available or known, possible other sources of funding for the project • Where they can receive further information <p><i>Note: Reasons for not funding does not need to be disclosed on an unsuccessful letter, however reasoning can be provided at the request of the unsuccessful applicant.</i></p> <p>Successful letter;</p> <ul style="list-style-type: none"> • Grant project name and project name • Review process undertaken, decision made and indicate completion outcome • Key dates including when milestone reports are due • Where they can receive further information and contact person • Funding Agreement to be signed and returned • Bank Details Form • Statement by Supplier Form (applicants without ABN)

Step	Action
	<ul style="list-style-type: none"> • New Creditor Request Form – Grant Specific (groups not currently set up in TechOne) • Copy of Project Report and Financial Acquittal Form <p>Funding Agreement</p> <p>Prior to grant funds being distributed, both parties have to enter into a Funding Agreement. The Funding Agreement will outline the amount of the grant, the scope of the project, timelines and any other conditions of funding. It will also have a requirement for a financial acquittal and reporting at the end of the project.</p> <p>Payment System</p> <p>Following a fully executed Funding Agreement grants funds will be distributed via EFT to a bank account held in the name of the successful applicant. Grant funds are paid in full in advance.</p> <p>Payment Method</p> <p>Councils preferred payment method is direct credit. All grant recipients who are not registered suppliers with Council need to fill in the supplier registration form and return it to Council.</p>
4.	<p>Managing Awarded Grants</p> <p>Milestone reports from the Grant Recipients will be due as outlined in the Funding Agreements, at a minimum of every six months.</p> <p>Performance issues of the Grant Recipients such as failure to achieve milestones, ineffective management of the funds, and mismanagement of funds or changes to the activity are not uncommon</p> <p>The Funding Program Administrator should also make contact with the Grant Recipients on a regular basis to check they are meeting requirements stipulated in the Funding Agreement. These measures will ensure any issues are identified during the planning phase, rather than at the acquittal stage.</p> <p>Council have the power to retract funding if the organisation or project/event fails to meet milestones or objectives or if performance issues identified are not rectified to the satisfaction of Council. Council will not re-fund projects that did not achieve their objectives.</p> <p>4.1 Acquitting the Project</p> <p>Acquittals are necessary in order to ensure financial accountability and for Council to assess the effectiveness of the grant programs. Financial acquittals are done at the end of the project. The financial acquittal process must be clearly defined in the funding agreement and during the Grant award process.</p> <p>All Grant Recipients will be required to provide a review of the project of which they were funded for. This can be include written documents, photos, verbal presentations, or videos.</p> <p>Feedback and reviews should be collated into the program evaluation and review process which will then be presented to Councillors.</p>

Step	Action
	<p>All acquittals will be recorded in Council's electronic document management system.</p> <p>4.2 Unsatisfactory Acquittals</p> <p>Funding Program Administrators who manage a grant program will review financial acquittals. If the acquittal is deemed unsatisfactory, the Responsible Officer will request an amended acquittal to be submitted.</p> <p>If there are issues with the acquittal the Funding Program Administrator member can seek support from the Funding Program Manager.</p>
5.	<p>Variations</p> <p>Requests for Variation must be submitted for any changes to scope or timing. These include changes to budget, delivery, and outcomes.</p> <p>Organisations must complete a request for variation form before proceeding with works.</p> <p>Minor and Substantial requests for variation as defined in the Grants and Sponsorships Policy will both be reviewed by the Funding Program Administrator and a recommendation made.</p> <p>In the case of a minor variation, the Funding Program Manager can approve. In the case of a Substantial variation, the recommendation must be presented to at least two members if not all of the original assessment committee. If the original committee is not available the relevant Manager or Director can represent them.</p> <p>Approved variations will be informed of the approval for the change and the limitations, if any, put on them. Organisations with rejected variations will be informed by the Funding Program Manager who will work with the organisation to determine if the project is deliverable, or if the funds need to be returned to Council either in whole or in part.</p> <p>All variations and decisions on variations will be stored in a register, as well as the original documentation saved in a document management system.</p>
6.	<p>Review and Evaluation</p> <p>Each grant program will benefit from regular evaluation and review of the outcomes and outputs.</p> <p>A "Lessons Learnt" log will be kept in order to capture items that could be improved and keep a record that can be transferred in case of staff turnover.</p> <p>An Outcomes Report should be presented to Council every year to demonstrate the outcomes achieved through the various grant programs and should map the alignment to the existing Council Plan priorities.</p>



GRANTS PROGRAM - FUNDING AGREEMENT

Applicants are required to sign and return this funding agreement prior to receiving their grant.

On behalf of: **APPLICANT ORG NAME**

I agree to the funding under the terms and conditions outlined in this agreement.

Project Name	Amount \$
XXX	\$XXX

- Ensure the project or activity is completed by **xx Month Year**. I understand that I must notify Council if for any reason this cannot occur. In special cases, Council may consider extending the grant timelines.
- Ensure the grant is used for the project or activity nominated throughout the application process.
- Report to Council on project progress at xx month and xx month.
- The organisation is also responsible for raising any issues with project delivery to Council in a timely manner.
- The organisation agrees to submit a request for variation if any change to time or scope is needed for the project.
- Submit a project report and financial acquittal on the outcome of the project together with receipts detailing expenditure of the grant and photos of the completed project.
- Return any unspent funds to the Council unless otherwise agreed.
- Ensure the Rural City of Wangaratta's financial contribution is recognised in any publicity, promotion or signage about the project.
- Accept all management and financial responsibility for undertaking the project and any associated insurance costs or ongoing maintenance. Public Liability, Workcover and/or Volunteer Insurance are required must be valid at the time of the project.
- Agrees to indemnify and to keep indemnified the Wangaratta Rural City of Wangaratta, its servants and agents, and each of them from and against all actions, costs, claims, charges, expenses, penalties, demands and damages whatsoever which may be brought or made or claimed against them, or any of them, in consequence or connection with the project.
- Invite a representative of the Rural City of Wangaratta to view the completed project or attend events associated with the project.

Wangaratta Rural City Council requires all those with whom it deals in the provision of goods and services to observe the following principles:



- Act fairly, ethically and honestly in all dealings with Council;
 - Not to exert pressure nor influence on Council Staff that may cause them to waiver from Council's Code of Conduct;
 - To abide by relevant legislative processes and regulatory requirements both state and national legislation, including planning, environment health and building permits;
 - To have respect for the obligation of Council Staff to act in accordance with this Statement of Ethics;
 - Commit to not offer Council Staff inducements or incentives such as money, gifts, tickets benefits, entertainment or employment opportunities, other than invitation to Councillor/senior representative as outlined in this agreement; and
 - Ensure that all sub-contractors and committee members are aware of this statement and the consequences of breaching it.
-

I understand that the Rural City of Wangaratta may request return of the funding if the:

- Community group/business/organisation fails to complete the project, within the agreed timeframe.
- Community group/business/organisation fails to comply with any of its obligations under this Funding Agreement.

Name	
Position	
Signature	
Date	

Please return to:
Rural City of Wangaratta
Projects and Recreation Officer
PO Box 238
Wangaratta VIC 3676

OR email to: recovery@wangaratta.vic.gov.au



GRANTS PROGRAM - SAMPLE PROJECT REPORT AND FINANCIAL ACQUITTAL

*To be returned on completion of project or expenditure of funds.
All community grant projects should be completed & acquittals returned by **30 June 2021**.
Should you require extra space to answer any of the questions, please attach them
separately clearly indicating which question you are answering.*

Group/Organisation Name	
Project Name	

- 1. Please describe your project and the benefit it has had to your business and/or the RCoW community?**

- 2. When was the project completed?**

- 3. Would you consider the project a success? Please describe.**
In answering this question, you may like to consider such things as:
 - The KPI's outlined in your initial application to measure success.
 - Did the project or activity achieve its goals?
 - Were there particular strengths or weaknesses?
 - Did you learn anything new or gain unexpected benefits?

- 4. Has this project:**
 - A) Community Stream - Increased ongoing membership/participation in your organisation?
 - B) Business Stream - Increased resilience of your business?

- 5. Please provide any other commentary relevant to the completion of your project.**



6. Project Financial Acquittal

(use the template below or attach your own budget showing income and project expenditure). You must attach copies of invoices to this report.

Project Income (excl. GST)	
Source	Actual \$
Local Government – Rural City of Wangaratta	
Applicant Contribution – cash	
Applicant In Kind Contribution	
Sponsorships	
State/other grant income	
Other (please specify)	
TOTAL INCOME	

Project Expenses – breakdown of costs (excl. GST)	
Item	Actual \$
TOTAL EXPENSES	

(add more lines if necessary)

Authorisation of Applicant

Name:

Position:

Email:

Phone:

Date:

☐ I confirm that the information contained in this financial acquittal and project report are true and correct.

Please return completed form and photos of project (if applicable) to:

email

Rural City of Wangaratta
P.O. Box 238
Wangaratta VIC 3676

OR:

Community Grants

Request for Variation - Scope

PROJECT DETAILS

Business/Organisation Name:	
Contact Person Name:	
Contact Person Email:	
Project Name:	
Approved Grant Amount:	

VARIATION DETAILS

What is the current scope of the project (as outlined in the application)?

What are the proposed changes in scope?

--

What is the impact of the change and how is the impact being managed?

Will the cost of the project be impacted?

--

PROPOSED TIMELINE

Project Task	Date

DECLARATION

I declare that the information provided in this form is true and correct to the best of my knowledge.

I acknowledge that my organisation/business will not continue with works until our request for variation is approved.

I acknowledge that my organisation/business is required to submit a project report and financial acquittal upon completion of the project.

Name:	
--------------	--

Signature:	
Date:	

Community Grants

Request for Variation - Timing

PROJECT DETAILS

Business/Organisation Name:	
Contact Person Name:	
Contact Person Email:	
Project Name:	
Approved Grant Amount:	

VARIATION DETAILS

Why has the project been delayed? Please explain the reason/s for this request:

What is the proposed completion date?
30/06/2021

What is the impact of the delay and how is the impact being managed?

PROPOSED TIMELINE

Project Task	Date

DECLARATION

I declare that the information provided in this form is true and correct to the best of my knowledge.

I acknowledge that my organisation/business will not continue with works until our request for variation is approved.

I acknowledge that my organisation/business is required to submit a project report and financial acquittal upon completion of the project.

Name:	
Signature:	

Date:	
--------------	--

Grant Auspice Agreement – Community Organisation

PROJECT DETAILS

Grant Name/Funding Body:	
Organisation Name:	
Contact Person Name:	
Contact Person Email:	
Project Name/Grant Purpose:	
Approved Auspice Amount:	

Rural City of Wangaratta Council has agreed to auspice funds provided by ****FUNDING BODY** through the ****SCHEME NAME** funding program to ****RECIPIENT ORGANISATION** for the purpose of ****GRANT PURPOSE**. This letter is an agreement between the ****RECIPIENT ORGANISATION** and Council, which must be signed by the ****RECIPIENT ORGANISATION** prior to Council signing a funding agreement with the ****FUNDING BODY**.

The ****RECIPIENT ORGANISATION** agrees that:

- The project is defined as *****GRANT DEFINITION FROM FA.**
- The total amount of funding available from the ****FUNDING BODY** for the project is ****FUNDED AMOUNT** excluding GST and any costs incurred above the funded amount for any aspect of the project will be the responsibility of the ****RECIPIENT ORGANISATION**.
- The project will commence no sooner than ****START DATE FROM FA** and be completed by ****END DATE FROM FA**.
- The ****RECIPIENT ORGANISATION** will be responsible for delivery of the project and confirms that it has Public Liability Insurance of at least xxx million per claim.
- The ****RECIPIENT ORGANISATION** will be responsible for reporting to Council monthly on the project, and for raising any issues or concerns as they arise
- ****ANY OTHER CONDITIONS** (ie project management and other support)

- The **RECIPIENT ORGANISATION will comply with all progress and financial reporting required of Council by the **FUNDING BODY. Specifically, the **RECIPIENT ORGANISATION will submit to Council reporting as outlined in any funding agreements.
- Any other reports required of the Council by the **FUNDING BODY from time to time detailing the progress of the project and expenditure of the funding.

The **RECIPIENT ORGANISATION further acknowledges that it has been made aware of the terms and conditions of the funding agreement for the project between Council and the **FUNDING BODY, and agrees that those terms and conditions are, to the full extent applicable, incorporated into this agreement, and that the **RECIPIENT ORGANISATION will do all things reasonable and necessary to enable Council to comply with those terms and conditions. A copy of the “**NAME OF FUNDING AGREEMENT & DATE” agreement between Council and the **FUNDING BODY, will be provided on the award of the funding.

Please arrange for one copy of this agreement to be signed by an authorised representative of the **RECIPIENT ORGANISATION and be returned to xxxx Council officer within seven days.


DECLARATION

I declare that the information provided in this form is true and correct to the best of my knowledge.

I acknowledge that my organisation will abide by the terms of this agreement.

I declare that am authorised to represent and permitted to be the signature on behalf of the receipt organisation.

Name:	
Signature:	
Date:	

COMMUNITY SPONSORSHIP DISTRIBUTION PROCEDURE	Responsible Officer:	Manager Community & Recreation	 Rural City of Wangaratta
	Authorising Officer:	Director Infrastructure	
	Date Revised:	5/10/2021	
	Next Review Date:		
	Approved By:		

PURPOSE

Purpose:	<p>The purpose of the Community Sponsorship Distribution Procedure is to provide Council staff with a set of guiding procedures to ensure a consistent approach to the development, implementation and funding of Community Sponsorships across Council.</p> <p>Community Sponsorships are longer-term arrangements with community organisations to deliver the strategic outcomes as outlined in the Council Plan. They can be for a maximum of four years, and should be reviewed and re-opened with the adoption of each new Council Plan</p>
Scope:	<p>The scope of this procedure is to:</p> <ul style="list-style-type: none"> Deliver Council's Community Sponsorship programs in accordance with Council's Grants and Sponsorship policy, and Ensure Community Sponsorships distributed by Council are done so in a transparent, accountable, and uniform manner.

COMMUNITY SPONSORSHIP FUNDING

Step	Action
1.	<p>Design of Community Sponsorship Program</p> <p>The Community Sponsorship program should be designed or reviewed to ensure that it achieves outcomes identified within the Council Plan and to ensure that resources are used efficiently and effectively. The Program should be reviewed no less than every four years, after the adoption of a new Council Plan.</p> <p>1.1 Outcomes of the Community Sponsorship Program</p> <p>Outline the specific outcome of the Community Sponsorships program.</p> <p>For example: <i>"The purpose or outcome of the Community Sponsorship program is to work in partnership with community stakeholders to nurture and develop the vitality of communities through support for programs and projects with community outcomes which align to its Council Plan"</i>.</p> <p>The purpose of the program must align with Council Plan objectives.</p>

Step	Action
	<p>1.2 Goals and Outputs</p> <p>The design of the program should make it clear that goals and outputs of applications submitted will be assessed as to how they achieve the outcome of the Community Sponsorship program. A goal can be <i>“To have x number of people attend our event which will bring x people to visit, spend and stay in Wangaratta”</i>.</p> <p>1.3 Available Funds</p> <p>List the total amount of funds available for allocation under this program and how often the application process will run.</p> <p>Including:</p> <ul style="list-style-type: none"> • The size, timeframe and nature of Community Sponsorships; • State the upper and lower level of Community Sponsorships; available; • Clarify the timeframe of what period the Community Sponsorships will cover
2.	<p>Development of Community Sponsorship Program</p> <p>The Community Sponsorship program as approved by Council is required to have up-to-date guidelines available for applicants.</p> <p>2.1 Key Information</p> <p>Key information must be provided by applicants to ensure the Community Sponsorship program can be administered effectively. This shall include but is not limited to contact details and details about the applicant organisation.</p> <p>2.2 Eligibility</p> <p>Eligibility criteria is provided within the Financial Assistance and Sponsorship Policy and additional eligibility criteria may be necessary.</p> <p>2.3 Assessment Criteria</p> <p>Assessment criteria shall be established to enable the assessment and evaluation of the application as to how effectively the applicant will achieve the purpose and outcomes of the Community Sponsorship program.</p> <p>With the adoption of a new Council Plan the Community Sponsorship Program will be reviewed. Alignment with objectives from the new Council Plan will be undertaken along with a review of the supporting documentation such as applications and guidelines. This will ensure that the partnerships over the Council term will be focused on delivery of the objectives outlined in that plan.</p> <p>This new assessment criteria will be approved by the Coordinated Management Team before being published, and the program opened.</p>

Step	Action
3.	<p>Applying for a Community Sponsorship</p> <p>The application process will be opened no less than every four years, after the adoption of a new Council Plan and alignment of the Community Sponsorship Program to that Plan.</p> <p>Application Process</p> <p>The application form should be designed so that it only requests information needed to make decisions on the application.</p> <p>Application forms must include at minimum the following items:</p> <ul style="list-style-type: none"> • Name and contact details of organisation or sponsor organisation applying • response to Community Sponsorship program objectives • project or event management plans (where applicable) • information regarding access and inclusion • budget including in-kind support required from Council • privacy statement • must be signed by an appropriate office-bearer of the applicant organisation
4.	<p>Record keeping</p> <p>The Community Sponsorship program must maintain a full set of records to ensure that all parts of the Community Sponsorship process are documented in the appropriate records management system. This includes the design of the Community Sponsorship program, the promotion, applications received, review and assessment processes and decision making.</p> <p>Subsequent to release of funds, all funding agreements, reporting and acquittals must be documented and stored in the appropriate records management system.</p> <p>Documentation shall be retained in Council's electronic records management system. Elements of the process may utilise other record management systems to allow effective collaboration and program management, however final documentation must be retained within Council's electronic records management system.</p>

COMMUNITY SPONSORSHIP ASSESSMENT

Step	Action
1.	<p>Initial Assessment of Community Sponsorships</p> <p>All applications received will be assessed against the eligibility criteria prior to being considered. An evaluation panel will then consider all eligible applications against set criteria prior to making a set of recommendations for funding. The recommendations will then be presented to Council to make a final decision.</p>

Step	Action
	<p>1.1 Assessment of Community Sponsorships</p> <p>The Funding Program Administrator will assess the applications to determine if they meet the initial eligibility criteria. The Funding Program Administrator will then produce an Assessment Report that includes all applications received and will indicate those that did not meet the eligibility criteria.</p> <p>1.2 Evaluation Panel and Conflicts of Interest</p> <p>The Funding Program Administrator will set up an Evaluation Panel. The Evaluation Panel should comprise no less than three persons, and representatives of at least two different Directorates within Council. External individuals may also be used on the Evaluation Panel. The Funding Program Administrator should not have voting rights on the evaluation panel. Councillors should be removed from the evaluation process.</p> <p>Appropriate Conflict of Interest declarations shall be declared at this stage and included in the Assessment Report.</p>
2.	<p>Evaluation of Community Sponsorship Applications</p> <p>The Assessment Panel will be provided with the Assessment Report, a copy of the applications and a scoring template. All members of the panel will read all of the applications and assess them against the assessment criteria.</p> <p>The Assessment Panel should score all applications and rank them in order of score. If needed, the panel can convene to discuss the ranking, assessments, and cut off points for the Community Sponsorship allocation, as well as review the allocation through a pre-defined balancing process.</p> <p>2.1 Evaluation Report</p> <p>The Funding Program Administrator will prepare an Evaluation Report for the Evaluation Panel summarising the findings. The Evaluation Report shall accompany a report prepared for either Council or delegated officer consideration of applications received. This should include the full report for both recommended and not recommended applications. Appropriate Conflict of Interest declarations shall be declared at this stage and included in the Assessment Report.</p> <p>Where Council endorsement is required, a Council report must be written and presented to the Corporate Management Team prior to progressing to a Council meeting. The final decision will be made by Councillors at a Council meeting.</p>
3.	<p>Notification of Community Sponsorship Outcomes</p> <p>Successful and unsuccessful applicants to be advised of the outcome of the application in writing, it should include as a minimum;</p> <p>Unsuccessful letter;</p> <ul style="list-style-type: none"> • Program and project name

Step	Action
	<ul style="list-style-type: none"> • Review process undertaken, decision made and where to find details of successful applicants • Eligibility to reapply • If available or known, possible other sources of funding for the project • Where they can receive further information <p><i>Note: Reasons for not funding does not need to be disclosed on an unsuccessful letter, however reasoning can be provided at the request of the unsuccessful applicant.</i></p> <p>Successful letter;</p> <ul style="list-style-type: none"> • Program and name • Review process undertaken, decision made and indicate completion outcome • Indicate key dates including when milestone reports are due • Where they can receive further information and contact person • Memorandum of Understanding which includes all terms and conditions of the funding to be signed and returned • Bank Details Form • Statement by Supplier Form (applicants without ABN) • New Creditor Request Form – Grant specific (groups not currently set up in TechOne) • Copy of Project Report and Financial Acquittal Form <p>Memorandum of Understanding</p> <p>Prior to Community Sponsorship funds being distributed, both parties have to sign a Memorandum of Understanding (MOU). The MOU will outline the amount of the Community Sponsorship, the scope of the project, timelines and any other conditions of funding. It will also have a requirement for a financial acquittal and reporting at the end of the project.</p> <p>Payment System</p> <p>Following a fully executed MOU Community Sponsorship funds for the first year of the agreement will be distributed via EFT to a bank account held in the name of the successful applicant.</p> <p>Community Sponsorship funds are paid annually for the term of the MOU, and subsequent years payments are conditional upon satisfactory acquittal and Program Report from the previous year.</p> <p>Payment Method</p> <p>Councils preferred payment method is direct credit. All Community Sponsorship recipients who are not registered suppliers with Council need to fill in the supplier registration form and return it to Council.</p>

Step	Action
4.	<p>Managing Awarded Community Sponsorships</p> <p>Milestone reports from the Community Sponsorship Recipients will be due as outlined in the MOU, at a minimum of every six months.</p> <p>Performance issues of the Community Sponsorship Recipients such as failure to achieve milestones, ineffective management of the funds, and mismanagement of funds or changes to the activity are not uncommon</p> <p>The Funding Program Administrator should also make contact with the Community Sponsorship Recipients on a regular basis to check they are meeting requirements stipulated in the MOU. These measures will ensure any issues are identified during the planning phase, rather than at the acquittal stage.</p> <p>Council have the power to retract funding if the organisation or project/event fails to meet milestones or objectives or if performance issues identified are not rectified to the satisfaction of Council. Council will not re-fund projects that did not achieve their objectives.</p> <p>4.1 Acquitting the Project</p> <p>Acquittals are necessary in order to ensure financial accountability and for Council to assess the effectiveness of the Community Sponsorship programs. Financial acquittals are done annually in July for the previous financial year, and at the end of the project.</p> <p>The Financial acquittal process must be clearly defined in the funding agreement and during the Community Sponsorship award process.</p> <p>All Community Sponsorship Recipients will be required to provide a review of the project of which they were funded for. This can include written documents, photos, verbal presentations, or videos.</p> <p>Feedback and reviews should be collated into the program evaluation and review process which will then be presented to Councillors.</p> <p>All acquittals will be recorded in Council's electronic document management system.</p> <p>4.2 Unsatisfactory Acquittals</p> <p>Funding Program Manager will review financial acquittals. If the acquittal is deemed unsatisfactory, the Funding Program Administrator will request an amended acquittal to be submitted.</p> <p>If there are issues with the acquittal the Funding Program Administrator can seek support from the Funding Program Manager.</p> <p>An unsatisfactory acquittal may cause a delay in subsequent funding, or a cancellation of the remainder of the funding agreement.</p>
5.	<p>Variations</p> <p>Requests for Variation must be submitted for any changes to scope or timing. These include changes to budget, delivery, and outcomes.</p>

Step	Action
	<p>Organisations must complete a request for variation form before proceeding with works.</p> <p>Minor and Substantial requests for variation as defined in the Grants and Sponsorships Policy will both be reviewed by the Funding Program Administrator and a recommendation made.</p> <p>In the case of a minor variation, the Funding Program Manager can approve. In the case of a Substantial variation, the recommendation must be presented to at least two members if not all of the original assessment committee. If the original committee is not available the relevant Manager or Director can represent them.</p> <p>Approved variations will be informed of the approval for the change and the limitations, if any, put on them. Organisations with rejected variations will be informed by the Funding Program Manager who will work with the organisation to determine if the project is deliverable, or if the funds need to be returned to Council either in whole or in part.</p> <p>All variations will be reported on annually to Council, before delivery of the next round of funding is approved.</p> <p>All variations and decisions on variations will be stored in a register, as well as the original documentation saved in a document management system.</p>
6.	<p>Review and Evaluation</p> <p>The Community Sponsorship program will benefit from regular evaluation and review of the outcomes and outputs. Each program and this procedure will be reviewed no less than every four years after the development of a new Council Plan.</p> <p>A “Lessons Learnt” log will be kept in order to capture items that could be improved and keep a record that can be transferred in case of staff turnover.</p> <p>An Outcomes Report should be presented to Council every year to demonstrate the outcomes achieved through the various Community Sponsorship programs and should map the alignment to the existing Council Plan priorities.</p>