

# EXTERNAL GRANT MANAGEMENT POLICY

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<b>Policy Reference No.</b>	POL/309
<b>File No.</b>	HCC22/950
<b>Strategic Objective</b>	3.2 Deliver responsible and transparent governance, services and assets that respond to community needs.
<b>Adopted by Council</b>	9 December 2024
<b>Re-Adopted</b>	
<b>Date for Review</b>	December 2028
<b>Responsible Officer</b>	Coordinator Grants and Projects
<b>Department</b>	Finance and Governance

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## 1 POLICY STATEMENT

- 1.1 Council is committed to delivering projects that enhance the quality of life for Hume residents whilst ensuring financial sustainability. To assist in achieving this, Council will actively seek State and Federal grants as a strategic approach to offset the cost of project delivery, save rates and maximise value to the community.

## 2 PRINCIPLES

- 2.1 This policy is guided by the following key principles:
- I. **Efficiency, transparency and accountability** – A clear, streamlined approach to the seeking and management of external grant funding to maximise Council’s potential to obtain grants and augment rate revenue.
  - II. **Governance, risk appetite and effectiveness of decision making** – Council will not accept unsolicited funding opportunities or assume unnecessary risk by accepting funding that does not align with its financial and resource commitments or fails to deliver sufficient value.
  - III. **Financial sustainability** – Funding received via grants offsets Council’s investment in projects, with the aim of maximising community value in the delivery of projects.

## 3 PURPOSE

- 3.1 This policy aims to:
- I. Confirm that Council’s intention when seeking and accepting grants is to reduce Council’s investment in budgeted, committed or proposed projects from the capital works program as well as non-capital projects, services or programs which will assist the financial sustainability of Council or meet its strategic objectives.
  - II. Ensure a consistent and transparent decision-making process for unsolicited grant funding opportunities that are offered to Council, whereby Council can raise concerns and implement conditions with a funding organisation to accept or reject the grant funding offered.
  - III. Define the approvals process for the submission of grant applications and related documentation.
  - IV. Provide a measure by which Council can ensure the delivery of the required outcome within the agreed parameters mandated by the relevant funding body and ensure that acceptance of funding does not place a burden on either the financial or operational resources of Council.

## 4 SCOPE

- 4.1 The scope of this policy applies to all stakeholders, where:

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- I. Council is submitting a grant application for an external funding opportunity.
- II. Council partners with other organisations to submit a joint grant application (irrespective of whether Council is the lead applicant or not).
- III. Council auspices a grant application on behalf of another organisation.
- IV. Council is offered unsolicited funding (i.e. as part of a State or Federal Government budget or election commitment).

## 4.2 This policy does not apply to:

- I. recurring / business as usual funding received as State and Federal Governments commitment to Local Government (i.e. those received from the Victorian Grants Commission or subject to service agreements).
- II. grants given by Council (sponsorship / grant giving to community groups and organisations via community grant programs, business or other grants).

## 5 POLICY IMPLEMENTATION

### 5.1 Criteria to support decision making processes

In line with the Policy principles, the following criteria will guide the decision-making process for grants that Council actively applies for, or for grants that are offered to Council as described below:

- I. Council will apply for funding opportunities where it has the planned capacity and resources to deliver a project within the required timeframes and that complies with two or more of the following criteria:
  - a) Is part of the long-term Capital Program.
  - b) Is fully planned, scoped and accurately costed.
  - c) Aligns with Council's adopted strategic plans.
- II. Should Council be asked to auspice a grant application, the following criteria needs to be adhered to:
  - a) Justification as to how/why the arrangement aligns to Council's objectives.
  - b) The organisation to be auspiced has an existing or ongoing relationship with Council that can be demonstrated.
  - c) An Auspice Agreement is put in place and is for a specific grant and not an ongoing commitment.
- III. Where Council is offered or presented with unsolicited funding opportunities which are not in accordance with or aligns to the criteria at 5.1 (I) above, then Council reserves the right to either accept/reject the funding offered or alter the terms of the funding agreement (i.e. funding received as part of a State or Federal Government budget or election commitment).

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- IV. Where a co-contribution for a grant application is required, applications must have sought endorsement from the Director and Executive Leadership Team (ELT) and will be considered in accordance with criteria 5.1 (I).

## 5.2 External Grant Management Processes

- I. External Grant Management for non-recurrent grants occurs across three stages of the grant lifecycle.
- a) Stage 1: Grant and Project Identification – involves identifying and communicating grant opportunities that align with committed, budgeted or future proposed Council Projects, capital works, services or programs or to support strategic objectives.
  - b) Stage 2: Grant Application and Funding Agreement – involves the timely approval, preparation, writing and submission of grant applications and the process for entering into agreements with the funding organisation.
  - c) Stage 3: Grant Delivery - involves the delivery of the funded project, capital work, service or program including all internal and external liaison and required reporting; this includes variations and extensions should they be required.
- II. The potential to apply for a grant must be based on the current scope of the project, with the funding applied for utilised to offset the total cost as approved within the relevant budget.
- III. Grant and external funding opportunities that are unsolicited will be reviewed, presented and either approved or rejected as described in Section 5.1 of this policy, and where practicable, a condition of accepting the grant funding from a funding body is that:
- a) An additional clause(s) will be added into a funding agreement associated with applicable projects to address the following conditions should they arise:
    - Should the total project budget incur cost escalations beyond those stated within the funding agreement, Council will receive additional funding support from the external funding body to support these cost escalations.
    - Should additional funding not be available from an external funding body to assist with cost escalations, Council has the right to revise the scope of the project to mitigate cost escalations.

## 5.3 Grant Administration

- I. Grants Register
- a) Council will continue to maintain a Grants Register which records the details of all grant applications submitted and received as applicable to this policy, including but not limited to the following information:

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- the project or service deliverables, financial contributions, project manager, submission and announcement dates, funding agreement milestone dates, the outcome of the application and feedback on unsuccessful applications

## 6 ACCOUNTABILITIES AND RESPONSIBILITIES

6.1 Responsibilities have been established and are supported as outlined:

- I. Council
  - a) To approve/not approve the acceptance of unsolicited grant funding.
  - b) To approve the conditions under which Council will accept unsolicited grant funding.
  - c) To approve grants which do not align with 5.1 (I) of the Policy.
  - d) To approve additional funds or scope variation beyond the current budget.
- II. Chief Executive Officer (CEO)
  - a) To approve a report to Council for the review and approval for the terms of acceptance of unsolicited grant funding.
  - b) To provide signatory approval for all grant funding submissions as specified by the terms and conditions of the relevant funding bodies.
  - c) To provide signatory approval on funding agreements for successfully funded projects.

## 7 DEFINITIONS AND ABBREVIATIONS

- 7.1 **Capital Program** – Council’s annual and four-year program as set out in Council’s adopted Annual Budget and rolling Strategic Resource Plan
- 7.2 **Funding agreement** – a legal document setting out the terms and conditions and milestones governing the administration of funds by Council, determined by the funding organisation
- 7.3 **Funding bodies/organisation** – the organisation responsible for the funding opportunity. Funding organisations include Australian Government departments, Victorian Government departments, Government statutory bodies and registered non-Government Organisations
- 7.4 **Grant/Funding** – any assistance by way of a sum of money provided to Council by a funding organisation on the condition that the assistance is used for a specified purpose as outlined in a successfully submitted grant application and/or committed to through a funding agreement to achieve agreed objectives through milestone reporting.

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- 7.5 **Non-recurrent grant** – grant funding that must be applied for via an application submission and is not received by Council on an ongoing basis as part of business as usual.
- 7.6 **Project** – this terminology refers to and encompasses infrastructure projects, services and/or programs delivered by Hume City Council and where funding is applied for as part of a non-recurrent grant opportunity.
- 7.7 **Unsolicited grant** – grant funding that is not part of an advertised, competitive grant program, which is offered to Council without having to undergo a competitive funding application process.

## 8 RELATED DOCUMENTS

- 8.1 The External Grant Management Policy will be consistent with the Council Plan and associated strategic resources.
- 8.2 Strategic Council documents:
- I. Project Management Framework (PMF)
  - II. Council's Adopted Budget
  - III. Council Plan

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