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Grants Management Policy

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1. Scope

This policy applies to all Council employees and contractors involved in sourcing, applying for, accepting, managing, reporting on or acquitting incoming grants from Commonwealth, State and Territory agencies, and other organisations. It covers cash and in-kind grants, competitive and non-competitive grants, tied and untied funding, and one-off or multi-year agreements.

It excludes commercial procurements, voluntary development contributions, statutory payments and outgoing grants/sponsorships which are covered by separate policies.

2. Purpose

- To ensure that all grants and subsidies sought align with City of Ryde's Community Strategic Plan and provide measurable benefits to the community.
- To support Council staff in effectively managing external funding opportunities through clear procedures and responsibilities.
- To ensure effective and efficient management of all incoming grants received, and to enable timely internal and external reporting.
- To establish a standardised and centralised procedure for the application, acceptance, administration and acquittal of all applicable grants, including internal processes for managing grant fundings.
- To ensure compliance with relevant legislative, regulatory, and funding body requirements in the administration of external funding, and to promote transparency and accountability in the use and reporting of public funds received from external sources.

3. Definitions

Term	Definition
Acquittal	The process of reconciling funds received and expended and demonstrating outputs/outcomes against conditions.
Funding agreement	Contract or deed outlining conditions, milestones, reporting, and compliance requirements.
Grant (incoming)	Non-reciprocal funding or in-kind resources received by Council from an external grantor to support specified outcomes, where the return of equivalent goods/services is not required.
Grantor	The funding body providing the grant.
Match/Co-contribution	Council resources (cash or in-kind) committed to the project.
Milestone	A defined stage or deliverable in a project that triggers reporting or payment.

Eligible expenditure	Costs that are permitted to be funded under the grant guidelines or agreement.
Ineligible expenditure	Costs that cannot be funded under the grant conditions.
Deliverables	Specific outputs or products that must be completed as part of the funded project.
Outcomes	The broader results or impacts achieved as a result of the project activities.
Compliance	Adherence to the rules, conditions, and requirements set out in the funding agreement and relevant legislation.
Variation	A formal change to the approved scope, budget, or timeline of a project.
Reporting period	The defined timeframe in which progress or financial reports must be submitted.

4. Policy Principles

- That Council apply only for grants that will directly contribute towards meeting the goals and strategies under the outcomes of the Community Strategic Plan.
- All co-contributions must be reviewed by the Grants Committee. Applications must be made only where Council has the financial and operational capacity to deliver, and where they clearly demonstrate a community benefit and represent an efficient and effective use of public funds.
- That Council officers consider the full lifecycle costs of grant-funded projects, including any matching, recurrent, or maintenance funding obligations
- That no grant shall be accepted except by resolution of Council, or under delegated authority to the CEO, relevant Director or managers.
- That best practice project management principles are applied to the planning, risk assessment and delivery of all grant-funded activities.
- That Council maintain a Grant Register to enable effective management of grant information in relation to monitoring of income and expenditure and complying with reporting to meet both internal and external requirements.
- That the grant owner ensures milestones are achieved and timely progress reports are prepared accordingly.
- That Council officers seek grant extensions in the event of any delays in project delivery.

5. Roles and Responsibilities

Role	Responsibilities
Elected Council	<ul style="list-style-type: none"> Responsible for ensuring that their decisions represent and reflect the needs of the wider community. Engages with the community to determine key priorities and expectations through development of the Community Strategic Plan, Delivery Program, and related strategies and plans. Advocates through engagement with external stakeholders for significant strategic funding opportunities and garners support for applications.
Chief Executive Officer	<ul style="list-style-type: none"> Executes funding agreements, deeds and binding contractual documents associated with successful grant applications. Determines overriding priority projects where multiple projects may be eligible for a grant opportunity.
Executive Leadership Team	<ul style="list-style-type: none"> Oversees pipeline and alignment of grant funding opportunities with Council's strategic priorities.
Chief Financial Officer	<ul style="list-style-type: none"> Establishes internal financial controls for Policy execution. Maintains a register of grants in accordance with Australian Accounting Standards and relevant codes. Ensures financial reporting requirements are completed. Assists in investigations of alleged non-compliance. Ensures documentation is maintained in line with recordkeeping and audit standards. Ensures financial information in acquittals complies with funding agreements.
Grants Specialist	<ul style="list-style-type: none"> Provides guidance to Executive and other Council staff on the content and implementation of this Policy. Establishes non-financial internal controls for Policy execution. Undertakes regular reviews of this Policy. Assists with liaising with funding bodies Assists in investigations of alleged non-compliance Coordinate approvals/non-approvals alongside Grant Committee
Grant Owner	<ul style="list-style-type: none"> Drafts and submits the grant application with complete, accurate and compliant information Maintains knowledge of the proposed project for grant purposes Coordinates internal inputs, reviews and approvals Leads grant acceptance and agreement execution if awarded Ensures handover to the Project Owner where delivery is separate Ensures acquittals are performed in accordance with funding agreements and submitted where required.

Project Owner	<ul style="list-style-type: none"> • Owns and leads delivery of the project once funding is awarded • Responsible for project scope, budget, schedule and risks • Delivers outcomes in line with approved grant conditions • Provides progress reporting, milestones and acquittals • Manages changes impacting delivery and grant obligations • Advises grant body of any variations to funding agreement
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6. Grants Committee

6.1 Grants Committee Composition

A Grants Committee shall be comprised of the following (or their delegate):

- Director of Infrastructure
- Chief Financial Officer
- Manager Assets
- PMO representative
- Manager of Executive Services and Governance
- Grants Specialist

6.2 Grants Committee Responsibilities

- Review all proposed projects with a total value exceeding \$100,000 noting that all grants requiring a co-contribution go the Grants Committee.
- Provide formal pre-approval prior to submission, commitment, or execution.
- Assess project budget, risks, resourcing, and strategic alignment.
- Approve, decline, or require amendments to proposals as appropriate.
- Ensure governance, compliance, and organisational risk standards are met.
- Review and approve material scope or budget variations that exceed \$100,000.
- Record and maintain formal documentation of all decisions.

7. Grants Management

7.1 Grants Management System and Record Keeping

All grant applications must be managed and recorded in accordance with Council's records management requirements.

- Content Manager remains the official system of record for all grant-related documentation, in line with organisational and legislative requirements.

- Currently, SmartyFile is used for tracking grant application details, including submission dates, project owners, and funding body information. Council staff must be registered in SmartyFile prior to commencing a grant application to ensure the application can be tracked. Existing Smarty Grants users may be granted access to SmartyFile, with user permissions assigned based on role and responsibilities.
- Where an application is not submitted through SmartyGrants, the application and all supporting documentation must be provided to the Grants Specialist for upload and storage in SmartyFile and Content Manager.
- All final and official documentation must be captured and stored in Content Manager in accordance with Council's recordkeeping obligations.

7.2 Risk Assessment for High-Value Grants

All grant applications with a total value exceeding \$100,000 must undergo a formal risk assessment prior to submission. A formal risk assessment is also required for any grant application that includes a Council co-contribution, regardless of value.

- The current risk matrix is being maintained by the Management Accounting & Business Strategy team in the Grant register for all applicable grant applications to assess key risks, including financial, operational, reputational, and compliance risks. This is completed after funding has been received.
- In parallel, an individual project risk register is required to be completed prior project approval to encourage proactive risk management and capture how applicants perceive and assess the risk appetite of their own projects.
- The risk assessment considers factors such as project complexity, funding conditions, delivery capacity, co-contributions, and alignment with Council's strategic objectives.
- The completed risk matrix score must be reviewed as part of the internal approval process and considered by the Grants Committee where applicable
- All data relating to actual versus perceived risks, as well as identified risks and their corresponding mitigation strategies, must be documented, monitored, and retained in accordance with Council's Risk Management Framework.

Refer to Council's Grants Management Procedures (Incoming Grants) to access the Risk Matrix.

7.3 Staff Responsibilities

- To adhere to this Policy whilst applying and managing grants.
- To participate in training to understand their obligations under this Policy.

The following staff have specific responsibilities:

- Project Owner: Accountable for business case, delivery and benefits.
- Grants Specialist: Advisory oversight, monitoring and reporting.
- Governance/Risk/Legal: Probity, conflicts and contract review.
- Records/Information Management: Storage, retention and disclosure.
- Management Accounting & Business Strategy: Maintenance of the Grants register, support the financial recording of the grant, project budget management as funded by the grant, and preparation/ review of the acquittal process.

8. Non-Compliance

Non-compliance may result in repayment of funds, audit qualifications, reputational damage or legal action. Incidents must be reported to the relevant Director, CFO and Manager Executive Services and Governance promptly; corrective actions and, where required, self-disclosure to the grantor will be undertaken. Applications for projects over \$100,000 and those that require co-contribution must not be submitted, contracted, or otherwise committed without documented Grants Committee approval.

9. Reporting

A quarterly grants update will be compiled by the Governance team and provided to Council.

This update will provide a summary of Council's grant activity for the reporting period, including:

- Pending Applications – grant submissions awaiting assessment or decision;
- Successful Applications – grants approved and awarded to Council; and
- Unsuccessful Applications – grant submissions that were not approved.

A detailed listing of all grant applications and funding outcomes will be provided to supplement this summary, ensuring transparency, accountability, and effective oversight of Council's grant management activities.

10. References and Legislation

Council will apply for and administer incoming grants in accordance with the:

- Local Government Act 1993 (NSW),
- Local Government (General) Regulation 2021,
- Government Information (Public Access) Act 2009 (NSW),
- Office of Local Government (OLG) financial reporting guidance and the Local Government Code of Accounting Practice and Financial Reporting (including AASB 15 and AASB 1058),
- NSW Government Grants Administration Guide,
- Code of Conduct,
- Risk Management Framework,
- Procurement Policy,
- Records Management Policy,
- Privacy Management Plan,
- Instrument of Delegation from the CEO to Staff,
- Project Management Framework,
- GIPA Agency Information Guide.

11. Procedures

This Policy will be implemented via the Grants Administration Procedure.