

## **IMPLEMENTATION OF RISK MANAGEMENT MEASURES**

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### **1. Purpose of Report**

This report presents for the Subcommittee's information the measures being implemented to address the recommendations made through the Risk Assurance review on Grants.

### **2. Recommendations**

It is recommended that the Grants Subcommittee:

- 1. Receive the information.*
- 2. Note the Grants team responses to the recommendations made under the Risk Assurance review.*
- 3. Approve statements listed under 4.1, 4.2 and 4.3 in this report to be used in public advice on grants.*

### **3. Background**

A Risk Assurance review of the grants process has been completed and a number of improvements suggested. Some of these have been put in place for the first round of the new grants framework, and some await Grants Subcommittee approval and if approved, will be implemented for the second round under the new framework.

### **4. Discussion**

The table below outlines changes proposed as a result of the Risk Assurance review.

Risk Assurance recommendation	Grant Team response
<p>Protocols need to be developed to guide the handling of late applications and to set some guidance on under what circumstances a late application may be considered.</p>	<p>Late applications will not be accepted. A late application is one received by the Grants team after 5pm on the closure date unless a posted or hand delivered application is date-stamped prior to this time. Faxed applications can be accepted if an original is presented on the next working day.</p>
<p>Guidance needs to be provided to the Grants team on a reasonable and fair approach that can be taken to following up incomplete applications.</p>	<p>Applicants are given seven working days to provide the initial outstanding information. They will get one phone/email or written request for this. Failure to provide this results in the application being returned to the applicant saying incomplete applications cannot be accepted.</p>
<p>Clarity around the roles and responsibilities of each member of the Grants team to be developed so that the assessor can focus on assessing the applications without becoming embroiled in follow up on incomplete or inappropriate applications.</p> <p>A checklist be developed to enable the administrators in the Grants team to carry out the initial checks on the applications to ensure they are complete and appropriate before passing them on to be assessed.</p>	<p>A revamp of assessment forms used at all stages of the assessment process has been completed. These are in use for the first round of the new framework.</p> <p>An overview of Grants processes, including clarification of roles, will be available, spoken of at grant seminars, and if necessary published on the website.</p>
<p>Work needs to be done on developing a clear and comprehensive web site that allows potential applicants to access all the necessary information easily.</p>	<p>The web-centre have worked with the grants team on changes around the new framework and information required on the grants webpage, and they have put up the new information in the way they feel best fits Council protocols.</p>
<p>An Assessment Guide is to be developed to provide a formalised framework that will ensure that the assessor's recommendations are</p>	<p>Guide will be produced by November 2006.</p> <p>A formal committee report is now used for delivery of</p>

protected from accusations of bias.	recommendations, to improve transparency of the process for the public.
Information and communication protocols are to be developed to guide these aspects of the process, particularly in relation to the relationship between City Communities and the Grants Team.	A grants process agreement has been put in place with City Communities to clarify their role in assisting the assessment process.
The Grants team is to develop an impartial and independent complaint and appeals process to provide opportunity for applicants who are dissatisfied with the decision on their application to appeal or lay a complaint without escalating the matter to the Issues Resolution Office prematurely.	Committee decisions cannot be appealed, as decisions are final. Complaints about the grants process can made to the Director, Community Services within 14 days of the date of letter of notification of grants results.  This information is to be shown on the website and included in all decline letters.

In the interests of transparency it is recommended that the following information be made available to applicants by being added to our application guide currently used at grant seminars and published on the website.

**4.1 A list of what is likely and unlikely to be funded to be used as project funding guidelines:**

**Grants are MORE likely to be funded for what has commonly been funded in the past and at levels consistent with similarly sized and focused projects. These can include:**

- Activity, resource and programme costs for projects that clearly fit with the strategic focus areas.
- Minor capital works and equipment purchases (applicant is normally required to contribute at least 50% of the cost) for widely used community facilities.
- Subsidising the salary of a co-ordinating position that primarily enables community development (extra supporting information is required for grants toward salaries).
- Volunteer costs and expenses, for example training and supervision.

**Grants are NOT normally given for:**

- Activities or projects where the primary purpose is religious ministry.
- Catering.
- Core curriculum activities of educational institutions.

- Fundraisers and projects which seek to raise funds or which provide training for fundraisers.
- Individual scholarships.
- Major capital works or projects more appropriately presented as Annual Plan submissions.
- Personal travel and accommodation.
- Prize money.
- Retrospective funding for projects that have already been completed.
- Services or projects considered to be the responsibility of central government or some other funding body.
- Social functions.
- Vehicles – purchase and maintenance.

#### **4.2 The rules around late and incomplete applications:**

**Late Applications:** The Grant round closes 5pm on closure date and late applications are not accepted. Hand delivered applications require a date stamp at the reception desk.

Unless posted applications are date stamped prior to 5pm on the closing date they will not be accepted.

In urgent situations a faxed copy can be received by 5pm on the closing day with the original to be provided the following working day. An application may be received missing attachments, but the form itself must be fully completed.

**Incomplete Applications:** On receipt applications are checked that:

- The form is signed.
- The questions on the form have been answered.
- All attachments are in place.
- The organisation name corresponds with bank account name and other documents.

Applicants are given seven working days to provide outstanding information. They will get one phone/email or written request for this. Failure to provide this would result in the application being returned applicant with a letter saying the application cannot be considered by the Grants Subcommittee as it is incomplete.

#### **4.3 Appeal process.**

Subcommittee decisions cannot be appealed. The Subcommittee decision is final.

Any queries /complaints about the grants process need to be received by the Director, Community Services within 14 working days of the date of letter of notification of grants results.

## **5. Conclusion**

The Subcommittee is asked to agree to the publication of advice referred to within this report on grants processes in the interest of better transparency around grants management.

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## **Supporting Information**

### **1) Strategic Fit / Strategic Outcome**

*WCC General grants are allocated to support outcomes from the Cultural, Social, Economic and Environmental key achievement areas.*

### **2) LTCCP/Annual Plan reference and long term financial impact**

*The Social grants come under project C661, the Environmental Grants under project C652, the Social & Recreational grants under C678 and the Economic Grants under project C647.*

### **3) Treaty of Waitangi considerations**

*Any grants application that could have implications for Maori are referred to WCC Treaty Relations Office for recommendations. The Treaty Relations Office is sent the full list of applicants and projects for comments.*

### **4) Decision-Making**

*This is not a significant decision.*

### **5) Consultation**

#### **a) General Consultation**

*The Grants team sends the full list of applicants and projects for comment to appropriate Council officers prior to presentation to the Subcommittee. Applicants and persons or organisations referred to in the applications and others may be spoken to for comments where appropriate.*

#### **b) Consultation with Maori**

*The WCC Treaty Relations Office is sent the full list of applicants and projects for comment prior to presentation to committee.*

### **6) Legal Implications**

*N/A*

### **7) Consistency with existing policy**

*The grant pools have been created to assist community initiatives in line with Council strategy.*