Grant Guidelines

# [Insert grant name]

[Note that, under the Grants Administration Guide, grant guidelines are not mandatory for one-off or ad hoc grants (see section 6.1.7 and section 6.2), but may voluntarily be developed. If they are developed, guidelines for one off or ad hoc grants are not required to be published (see section 6.5).]

## ABOUT [INSERT NAME OF GRANT / FUND] – PURPOSE AND OBJECTIVES

The purpose of the [insert grant/fund name] is [insert brief description of the grant’s/fund’s purpose].

The objective of the [insert grant/fund name] is [insert brief description of the grant’s/fund’s objective] [

[Provide broad overview of the grant/fund]

The [insert grant name] comprises [insert total value of the grant or total amount in the relevant fund] in funding. [Insert any other relevant information about grant value here, including, for example funding limits]

[Note that section 5.5 of the Guide provides that officials must demonstrate at the planning and design stage how a grant opportunity will deliver value for money by identifying benefits and costs (economic, social, environmental and cultural). The Guidelines should set out how value for money will be achieved)]

Having regard to the [Grants Administration Guide](https://www.nsw.gov.au/sites/default/files/2022-09/Grants%20Administration%20Guide%20-%20September%202022_0.pdf) (Guide) issued under Premier’s Memorandum M20XX-XX, [the insert grant name / all grants under insert fund name] is/are considered [a] one-off or ad hoc grant/s. These are a type of grant determined on an ad hoc or targeted basis, usually by Ministerial decision. These grants are generally not available to a range of grantees or on an ongoing basis.

In accordance with section 6.3.5 of the Guide, [insert grant/fund name] expenditure is approved by the [insert Minister] (the decision-maker) through a formal and transparent process, and based on written advice provided by the [insert agency] (the source agency).

[Insert grant/fund name] is/are non-competitive. [The [insert grant name] / All grants under [insert fund name]] are assessed individually, without reference to the comparative merits of other applications. This process for assessing [the] proposal/s aligns with the way in which the funding request/s has been / are received or identified – on an ad hoc basis – and [include the following text if relevant] the breadth of purposes for which funding is sought. [Provide any other relevant justifications for the use of a non-competitive, ad hoc process]

Risks are managed in accordance with [insert agency]’s systems for risk management and through these guidelines. [NOTE that the Grants Adminstration Guide requires at section 6.1.4 that where a method other than a competitive, merit-based selection process is to be used (including one-off or ad hoc grants), officials must document why that method will be used and outline the risk mitigation strategies. This must be approved by the responsible Minister (or head of agency or delegate).]

### B. ELIGIBILITY CRITERIA

The following eligibility criteria must be met for the/a proposed grant recipient to be considered for the grant / a grant from the [insert fund name] [the text that follows provides example criteria. Adapt as necessary]:

1. Any request for consideration of funding must be in writing, via email or letter.
2. Funding can only be approved for:
   1. [insert criteria. See section 6.1.4 of the Guide for guidance about eligibility criteria. Examples of eligibility criteria might include the type of organisation (or individuals)) that might receive funding, whether or not other NSW Government funding has been received for the project etc.]
   2. …. J

[Note that in the case of all grant opportunities that are complex, high-risk or of high value, officials must conduct checks of the applicant (the potential grant recipient) proportionate to the value and risk of the grant (see further at section 6.1.2 of the Guide). The information obtained from these checks may be used to determine if the applicant meets specific eligibility criteria, or to inform the merits brief provided to the Minister. For example, information obtained from these checks may be relevant in assessing the capacity of the proposed grant recipient to deliver the proposed project. If it is necessary to conduct these checks, this should be captured in the guidelines where relevant – for example, it may inform eligibility criteria (which will set out above), or be addressed in the assessment criteria section, or be outlined in the process section below, or all of the above.]

### C. ASSESSMENT CRITERIA

Section 6.3.2 of the Guide provides that a decision-maker must not approve or decline a grant without first receiving written advice from officials on the merits of the proposed grant or group of grants.

The proposed grant / Proposals for grants from the [insert fund name] will be considered against the following criteria, which will inform [insert agency]’s recommendation to the [insert decision-maker]:

1. [insert criteria. This **must** include the mandatory criteria for one-off or ad hoc grants set out at section 6.1.4 of the Guide and included below.] The project for which funding is proposed to be provided is deliverable within the proposed timeframe and scope
2. The proposed grant recipients have sufficient capacity and expertise to deliver the project
3. The grant will provide community benefit
4. The grant will achieve value for money
5. Alignment with NSW Government policy objectives
6. [Additional assessment criteria may be added at the discretion of the agency]

### D. FUNDING REQUEST INCLUSIONS

Before the / a proposed grant can be assessed by [insert agency] and submitted to the [insert decision-maker] for consideration, the [proposed grant recipient – adapt as necessary if other parties can provide this information on the part of the proposed recipient] must provide the following information [the text that follows provides example inclusions. Adapt as necessary:

* Name of the proposed recipient of the funds (legal identity and trading name if applicable)
* If a community group / organisation, their details including ABN, incorporation status etc
* The dollar amount of funding sought
* The purpose for which the funding is to be used (including an outline of what the funds will be used for and why the funding is required)
* When the funds are required
* Confirmation that they have not received previous NSW government grant funding for the same activity or project or, if they have, that the previous grant did not fund the relevant activity or project in full and additional funding is required
* How the proposed grant satisfies the eligibility and assessment criteria for the grant [this can be elaborated upon with reference to the specifc criteria]
* [Additional information requests may be added as necessary]

Note: [insert agency] will seek the above information from the [proposed grant recipient – adapt as necessary if other parties can provide this information on the part of the proposed recipient], and incorporate the information into the written advice to the decision-maker.

### E. PROBITY ADVICE

[At section 6.1.1, the Guide provides that officials must seek probity advice (whether external or internal) for all grant opportunities that are complex, high-risk or of high value, to support the design, application, assessment and decision-making phases. Thresholds should be applied for complexity, risk and value consistent with the agency’s expenditure and risk management frameworks.

The text that follows provides example statements in response to this requirement. Adapt as necessary].

The proposed grant / Grants from the [insert fund name] is/are not considered complex, high-risk or high-value in nature and as such the requirement under section 6.1 of the Guide to obtain probity advice does not apply.

OR

The proposed grant / Grants from the [insert fund name is/are considered complex, high-risk or high-value in nature and as such the requirement under section 6.1 of the Grants Administration Guide (2023) [insert new link]to obtain probity advice applies. [Insert information about that process/advice]

### F. PROCESS

#### Funding requests

[If relevant, include information about the way in which the proposed grant has been identified for consideration. This is more relevant in the case of guidelines for a fund from which one off or ad hoc grant payments are made, rather than guidelines for a particular one off or ad hoc grant]

#### Support provided to applicant(s)

[Section 6.1.8 of the Guide provides guidance about support that might be provided to grant applicants and requires that officials must capture in the grant guidelines (or, where guidelines are not required and not prepared, otherwise document) what support is made available to applicants and relevant details of that support. Where relevant, these details should be captured here. (Note that officials must also document what support has in fact been given to a grant applicant and the reasons for giving that support, meaning that any support provided must be appropriately documented in due course).]

#### Decision-making

[The text that follows provides examples of details about the process that may be included. Adapt as necessary]

* The [insert grant / fund name] must be administered in accordance with the Guide.
* [Insert agency] will prepare written advice on the merits of the proposed funding, in accordance with the requirements at section 6.3.1 of the Guide, for the decision-maker’s consideration.
* The [insert decision-maker] will not approve or decline a grant without first receiving written advice from [insert agency] on the merits of the proposed grant.
* [Include any information about input from MPs or any other stakeholders, as required by section 6.3.3 of the Guide. This should include the role of stakeholders, the process for managing this interaction, and documentation of any input].
* Any conflicts of interest are required to be declared and managed in accordance with the [insert agency]’s Code of Conduct (for agency staff) and the Ministerial Code of Conduct (for the Minister).
* All decisions in the recommendation and approval process must be documented. The decision-maker’s decision to approve or decline a grant must be recorded in writing, including any reasons for departing from the recommendation of [insert agency]. All records must be managed in accordance with the requirements of the *State Records Act 1998* (NSW).
* Where the request is supported, the [insert decision-maker] has discretion to determine the funding amount (this may be either the full funding amount reqested, or a portion of the funding request). The decision-maker’s decision and reason to depart from the funding amount recommended in the brief must be recorded in writing.
* Requestors will be advised, in writing, of the outcome of their application.

#### Reporting

* All approved funding will be published on the NSW Government Grants and Funding Finder – no later than 45 calendar days after the grant agreement takes effect, in accordance with the requirements of section 6.5 and Appendix A of the Guide..

### G. TERMS AND CONDITIONS OF FUNDING

[The text that follows provides examples of relevant terms and conditions of funding that should be included. Adapt as necessary]

[Insert agency] manages the administration of the [insert grant / fund name] and ensures all funding is appropriately managed and acquitted in accordance with section 6.6.2 of the Guide.

1. Before any funds are issued, recipients must sign a grants agreement/deed agreeing to the funding terms and conditions.
2. Recipients must use the funds for the stated purpose for which the funding was awarded unless written permission has been obtained from [insert agency].
3. Recipients must provide evidence of expending the funds for the agreed purpose (acquittal) within the agreed timeframe.
4. Recipients must return any unspent funds in accordance with the grants agreement/deed provided to grant recipients.

### H. ADMINISTRATION OF THESE GUIDELINES

[The text that follows is example text. Adapt as necessary]

[The following text is most relevant with respect to funds from which several one off or ad hoc grants are made] The [insert Minister] approved these guidelines for the [insert fund name] in [insert month/year]. [Insert agency] will review these guidelines every two years, or as required, and make necessary updates subject to approval by the [insert Minister].

The Guide specifies that where grants are provided on a one-off or ad hoc basis, grant guidelines are not required and, if they are developed, they are not required to be published. These guidelines will not be published, however, in accordance with the Guide, information about the grants awarded will be made available on the NSW Government Grants and Funding Finder no later than 45 calendar days after the relevant grant agreement takes effect.