



COUNCIL POLICY

Financial Assistance Policy

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Responsible Position	Director Organisational Performance
Branch	Financial Operations
Division	Organisational Performance
Version	3
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Review Date	August 2021
Consultation	Executive Leadership Team and program fund coordinators

Document Revision History

	Date
Financial and Inkind Assistance Policy	March 2017
Financial and Inkind Assistance Policy	August 2020

Notes

POLICY

PURPOSE

Dubbo Regional Council provides assistance to community groups, organisations and events via a number of channels each designed to achieve distinct outcomes.

Each channel is framed under the Financial Assistance Policy to ensure that Council adheres to ICAC and Department of Local Government probity issues including:

- Transparency of process
- Accountability and monitoring, and
- Obtaining value for money.

Adherence to these issues is undertaken via evaluation processes tailored for each channel, each ensuring that are supported by transactional and answerable decision making.

This Policy also ensures applicants are provided optimal opportunity to seek assistance through the most appropriate channels.

BACKGROUND AND RELATED LEGISLATION

Dubbo Regional Council offers twelve (12) funding opportunities to support organisations in the LGA to:

- Deliver projects and programs that help create, enhance and build community well-being and amenity
- Support Council in the delivery of actions under the Community Strategic Plan
- Build and grow sustainable events
- Deliver economic and social benefits to the region

This Policy has been revised in consideration of:

- Addition of funding programs
- Changes to Council's Event Funding Program

Council has a responsibility to ensure that all assistance provided is managed through a transparent process; that the community is aware of the right channels to make requests through; and that all agreements are managed effectively.

This Policy aims to:

- provide a framework for twelve (12) funding opportunities available for application to the Organisation
- maintain transparency around the level of assistance provided
- support the clear communication of a processes for applying for assistance
- deliver a consistent approach in responding to all assistance requests
- ensure that funding provided is supported by return benefits commensurate with level of funding and appropriate to each channel
- provide process and reporting both based on internal and external requirements

This Policy ensures that no assistance is to be provided by Dubbo Regional Council outside the channels and processes outlined in this Policy.

SCOPE

This Policy applies to all financial assistance provided by or on behalf of Dubbo Regional Council. It applies to Councillors, and all Council divisions, businesses and facilities.

Related Policies and documents

Dubbo Regional Council's procedures, processes, guidelines and forms relating to:

- Bodangora Wind Farm Community Benefit Fund
- Chief Executive Officer's Sponsorship Fund
- Community Financial Assistance Fund
- Community Services Fund
- Corporate Sponsorship Program Fund
- Dubbo Neighbourhood Shopping Precinct CCTV Fund
- Dubbo Regional Sports Council (DRSC) Playing Field Improvement Fund
- Event Funding Program (Emerging Events, Community Events, Destination Events and Event Support Program)
- Local Heritage Assistance Fund

Dubbo Regional Council's policies:

- Event Attraction, Support and Delivery
- Corporate Image
- Corporate Media Protocols
- Tender Management
- Quotation Management
- Independent Commission Against Corruption (ICAC) Sponsorship in the Public Sector 2006
- Local Government Act (1993)

DEFINITIONS

To assist in interpretation, the following definitions apply:

Term	Definition
Bodangora Wind Farm Community Benefit Fund	Funding assistance for the development contributions arising from the planning agreement between Council and Infigen Bodangora Wind Farm Pty Ltd.
Chief Executive Officer's Sponsorship Fund	Enable not-for-profit organisations to defray costs associated with hire of Council venues or procurement of services provided by Council relating to an event located on Council property.
Community Financial Assistance Fund	The Financial Assistance Grant aims to ease the financial burden of not-for-profit organisations that contribute to the creation or enhancement of the community's well-being and amenity
Community Service Fund	Donations related to the requirements of Section 356 of the Local Government Act 1993 whereby Council may contribute money or otherwise grant financial assistance to persons for the purpose of exercising its functions.
Corporate Sponsorship Program	Financial assistance and tickets for projects and programs that support Council in the delivery of actions under the Community Strategic Plan
Dubbo Neighbourhood Shopping Precinct CCTV Fund	Financial assistance for the installation of Closed-Circuit Television (CCTV) infrastructure in the Tamworth Street, Boundary Road and Victoria Street neighbourhood shopping precincts.
Dubbo Regional Sports Council (DRSC) Playing Field Improvement Fund	Financial assistance to local sporting clubs / associations for the delivery of capital sporting infrastructure improvement works.
Event Funding Program	<p><u>Emerging Events Fund</u> To assist, support and grow local events and drive a mix of social, cultural and economic benefits to the region.</p> <p><u>Community Events Fund</u> To assist and support events that deliver social and cultural benefits to the Dubbo Region LGA.</p> <p><u>Destination Events Fund</u> Aimed to support, attract and retain events delivering significant economic and reputation benefits.</p> <p><u>Event Support Program Fund</u> To provide time, knowledge and skills to add value for regional event owner.</p>
Local Heritage Assistance Fund	Provide financial assistance to owners of heritage properties / items listed in the Dubbo Local Environmental Plan 2011 or Wellington Local Environmental Plan 2012 with heritage

	conservation work.
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POLICY

Dubbo Regional Council offers twelve (12) funding opportunities that individuals and organisations can apply for funding.

Bodangora Wind Farm Community Benefit Fund

The Bodangora Wind Farm Community Benefit Fund delivers social, cultural, economic or environmental benefits to local communities of the Wellington district and villages which are part of Dubbo Regional Council Local Government Area. The Fund has been created from development contributions arising from the planning agreement between Council and Infigen Bodangora Wind Farm Pty Ltd.

Responsible Division	Liveability
Program Coordinator and Branch	Executive Officer Liveability.
Applications	Round 1 - opens August and closes September annually. Round 2 - opens February and closes March annually.
Eligibility	Incorporated not-for-profit community groups of the Wellington district and villages that are part of the Dubbo Regional LGA.
Key Criteria	To deliver social, cultural, economic or environmental benefits to local communities of the Wellington district and Villages which is part of Dubbo Regional Council Local Government Area.
Application Process	Application through completion of an application form (available on the DRC website) and submission to Council by the closing date via email, mail or in person in Dubbo (CAB) or Wellington (WAB).
Assessment	Dubbo Regional Council Solar and Wind Consultative Committee comprising a mix of Councillors, Council's CEO and members of Council's Executive Leadership Team.
Recommendation	Director Liveability and Dubbo Regional Council Solar and Wind Consultative Committee.
Determination	Council's Infrastructure and Liveability Committee.
Reporting	Grant recipients to submit a six-monthly report (subject to project duration).
Return to Council	Acquittal Report.

Chief Executive Officer's Sponsorship Fund

The Chief Executive Officer's Fund aims to assist not-for-profit organisations to access fees / charges of Council venues / services. Funding is determined by Council annually and allocated as part of the Organisation's annual budget. Multiple funding can be provided to one organisation however funding cannot exceed an aggregate of more than \$1,000 per organisation in any one financial year.

Responsible Division	Executive Services.
Program Coordinator and Branch	Administration Officer, CEO, Governance and Internal Control.
Applications	Rolling annual program (online).
Eligibility	Not for profit organisations. Funding to be uses to defray fees/charges of council venues and services. Organisations can only receive funding under one channel in any one financial year for any particular program, project or event.
Key Criteria	The program or project aligns to actions under the Community Strategic Plan Must be a charity or not-for-profit organisation.
Application Process	Application form (available online).
Assessment	Administration Officer, CEO.
Recommendation	Administration Officer, CEO.
Determination	Chief Executive Officer.
Reporting	Reported to the community via Annual Statutory Report.
Return to Council	Benefits in line with Outgoing Sponsorship Benefits Matrix.

Community Financial Assistance Fund

The Financial Assistance Grant aims to ease the financial burden of not-for-profit organisations that contribute to the creation or enhancement of the community's well-being and amenity. Program funding is determined by Council annually and allocated as part of the Organisation's annual budget.

Responsible Division	Liveability.
Program Coordinator and Branch	Executive Officer Liveability.
Applications	March and October (twice per financial year).
Eligibility	Not-for-profit organisations.
Key Criteria	Deliver social, cultural or environmental benefits to the local communities within the Local Government Area.
Application Process	Application form (available online).
Assessment Process	Liveability panel, to include Director Liveability, Manager Community Services and other members as required.
Recommendation	Director Liveability.
Determination	Councillors.
Reporting	Council meeting or standing committee with delegated authority.
Return to Council	Benefits in line with Outgoing Sponsorship Benefits Matrix Acquittal Report.

Community Services Fund

The Community Service Fund relates to the requirements of Section 356 of the Local Government Act 1993 whereby Council may contribute money or otherwise grant financial assistance to persons for the purpose of exercising its functions. Program funding is determined by Council annually and allocated as part of the Organisation's annual budget.

Responsible Division	Liveability.
Program Coordinator and Branch	Executive Officer Liveability.
Applications	June annually and other application rounds as required.
Eligibility	Not-for-profit organisations.
Key Criteria	Deliver social, cultural or environmental benefits to the communities of the Local Government Area.
Application Process	Application form (available online).
Assessment Process	Liveability panel, to include Director Liveability, Manager Community Services and other members as required.
Recommendation	Director Liveability.
Determination	Councillors.
Reporting	Council meeting or standing committee with delegated authority.
Return to Council	Acquittal Report.

Corporate Sponsorship Program Fund

The Organisation provides sponsorship for projects and programs that support Council in the delivery of actions under the Community Strategic Plan. Council officers will consider applications on the basis of their alignment to the Corporation's goals, objectives and responsibilities. Funding may be available within operational budgets or proposed sponsorships highlighted to Council as part of the annual budget approval process.

Stream 1

Responsible Division	Executive Services.
Program Coordinator and Branch	Manager Corporate Image and Communications.
Applications	Rolling annual program (online).
Eligibility	Proposal has broad community support and potential to reach a wide audience (ineligible activities include political activities, capital expenses and wages).
Key Criteria	The program / project aligns with actions under the Community Strategic Plan.
Application Process	Application form (available online).
Assessment Process	Recommendation to the Chief Executive Officer.
Recommendation	Manager Corporate Image and Communications.
Determination	Executive Leadership Team.
Reporting	Reported to Council via monthly informal reports. Reported to the community via Statutory Report.
Return to Council	Benefits in line with outgoing sponsorship benefits matrix Acquittal Report.

Stream 2

Allocation of tickets/passes across businesses of Council considered and determined by Council as part of the annual budget process.

Responsible Division	Executive Services.
Program Coordinator and Branch	Administration Officer, CEO, Governance and Internal Control
Applications	Rolling annual program (online).
Eligibility	Detailed request to be sent to the CEO in writing
Key Criteria	The program/project aligns with actions under the Community Strategic Plan. Provision of tickets/passes considered to return public relations / marketing benefits for the Organisation and/or community.
Application Process	Application form (available online).
Assessment Process	Administration Officer, CEO
Recommendation	Administration Officer, CEO
Determination	Chief Executive Officer
Reporting	Reported to the community via Annual Statutory Report.
Return to Council	Benefits in line with outgoing sponsorship benefits matrix

Dubbo Neighbourhood and Wellington Shopping Precinct CCTV Fund

Dubbo Regional Council funding assistance for the installation of Closed-Circuit Television (CCTV) infrastructure in the Tamworth Street, Boundary Road and Victoria Street neighbourhood shopping precincts. The program supports projects or programs that help create, enhance or build community wellbeing and amenity.

Responsible Division	Liveability.
Program Coordinator and Branch	Manager Community Services / Youth Development Officer, Community Services.
Applications	Rolling annual program.
Eligibility	Shop owners in the Tamworth Street, Boundary Road and Victoria Street neighbourhood shopping precincts only. Wellington shop owners on the Mitchell Highway from Goolma Road to the roundabout on the corner of Maughan and Arthur Streets, with the inclusion of Swift Street.
Key Criteria	Key eligibility criteria: <ul style="list-style-type: none"> - meeting suitable CCTV specifications, - approvals from landowner/premise owner (if rented), - registration of CCTV equipment with the Dubbo Police, - at least one CCTV camera covering a public space, - Installation of signage notifying the public of surveillance equipment, and - Installation of CCTV equipment within 90 days of approval.
Application Process	Application form and program guidelines are not available on the DRC website, previously the Dubbo Regional Council Mayor has written to each eligible shop owner advising of the funding program.
Assessment Process	Community Services coordinates the assessment process; however all applications are assessed in discussion with Council's CEO.
Recommendation	Manager Community Services, Community Services.
Determination	Chief Executive Officer.
Reporting	Nil.
Return to Council	A project finalisation form to be submitted to council.

Dubbo Regional Sports Council (DRSC) Playing Field Improvement Fund

The Dubbo Regional Sports Council Playing Field Improvement Fund provides financial assistance to local sporting clubs/associations for the delivery of capital sporting infrastructure improvement works. The program creates partnerships with sports clubs using Dubbo Regional Council sportsgrounds in the provision or development of quality facilities within the Dubbo Region.

Responsible Division	Liveability.
Program Coordinator and Branch	Recreation Coordinator. Recreation & Open Space.
Applications	Rolling annual program.
Eligibility	Applications for funding are restricted to incorporated clubs and organisations that pay ground usage fees, with preference given to Dubbo Regional Sports Council members.
Key Criteria	Ten (10) assessment criteria that applicants must address in the grant application form addressing project benefits (to club and community), value, equity, merit, strategy and ongoing club success.
Application Process	Application through submission of a completed application form to DRC's Recreation Coordinator. Application form and program guidelines are not available on the DRC website (and no dedicated program webpage), rather Council's Recreation Coordinator advises clubs of the funding program and issues application forms/guidelines.
Assessment Process	The assessment panel is the management committee of the Dubbo Regional Sports Council, comprising the President, Vice President and four (4) committee members; three (3) from Dubbo and one (1) from Wellington.
Recommendation Process	DRC's Recreation Coordinator prepares a report with the Sports Council's management committee's recommendation to go to Council's Infrastructure & Liveability Committee for consideration / amendment / endorsement. The Infrastructure & Liveability Committee's report then goes to Council's next Ordinary Meeting for adoption (coordinated by Governance & Internal Control - they include it in the Ordinary Meeting agenda).
Determination	Council at its monthly Ordinary Council meeting.
Reporting	Regional Sports Council Annual General Meeting covering the sports fund activity.
Return to Council	No acquittal.

Event Support Program

Comprises of four (4) channels; *Emerging Events Fund*, *Community Events Fund*, *Event Support Program* and *Destination Events Fund*. The three (3) before mentioned channels support the growth and development of locally grown events. Program funding is determined by Council annually and allocated as part of the Organisation's annual budget. The *Event Support Program* provides staff assistance (not financial assistance) based on an application process.

The *Destination Events Fund* aims to support, attract and retain events that deliver significant economic and reputation benefits. Funding is determined by Council annually and allocated as part of the Organisation's annual budget.

Emerging Events Fund

Responsible Division	Culture and Economy.
Program Coordinator and Branch	Events and Partnership Team Leader. Regional Events.
Applications	August – for events held prior to 30 June. February – for events held prior to 31 December.
Eligibility	Not-for-profit organisations.
Key Criteria	Deliver a mix of social, cultural and economic benefits to the Local Government Area.
Application Process	Application form and guidelines (available online).
Assessment Process	Staff panel (managed by Manager Regional Events).
Recommendation	Director Culture and Economy.
Determination	Chief Executive Officer.
Reporting	Council meeting or standing committee with delegated authority.
Return to Council	Acquittal Report.

Community Events Fund

Responsible Division	Culture and Economy.
Program Coordinator and Branch	Events and Partnership Team Leader. Regional Events.
Applications	August – for events held prior to 30 June. February – for events held prior to 31 December.
Eligibility	Not-for-profit organisations.
Key Criteria	Deliver a mix of social, cultural benefits to the Local Government Area. Events are primarily for the benefit of the community.
Application Process	Application form and guidelines (available online).
Assessment Process	Staff panel (managed by Manager Regional Events).
Recommendation	Director Culture and Economy.
Determination	Chief Executive Officer.
Reporting	Council meeting or standing committee with delegated authority.
Return to Council	Acquittal Report.

Event Support Fund

Responsible Division	Culture and Economy.
Program Coordinator and Branch	Events and Partnership Team Leader. Regional Events.
Applications	August – for events held prior to 30 June. February – for events held prior to 31 December.
Eligibility	Not-for-profit organisations.
Key Criteria	Deliver a mix of social, cultural and economic benefits to the Local Government Area.
Application Process	Application form and guidelines (available online).
Assessment Process	Staff panel (managed by Manager Regional Events).
Recommendation	Director Culture and Economy.
Determination	Chief Executive Officer.
Reporting	Council meeting or standing committee with delegated authority.
Return to Council	Acquittal Report.

Destination Event Fund

Responsible Division	Culture and Economy.
Program Coordinator and Branch	Events and Partnership Team Leader. Regional Events.
Applications	September.
Eligibility	Event has potential to deliver at least \$300,000 in direct economic benefits.
Key Criteria	Organising committee has a proven record of delivering safe and successful events.
Application Process	Application form and guidelines (available online).
Assessment Process	Staff panel (managed by Manager Regional Events).
Recommendation	Director of Culture and Economy.
Determination	Chief Executive Officer.
Reporting	Council meeting or standing committee with delegated authority.
Return to Council	Acquittal Report.

Partner Events

Funding is also allocated under the Regional Events Branch's operational budget to attract major event activity. Eligibility and key criteria are the same as Destination Event fund, however, strategic financial partnerships will underpin the funding as determined by the Chief Executive Officer. A determination by Council is required.

Local Heritage Assistance Fund

The purpose of the Local Heritage Fund is to provide grants to assist owners of heritage properties / items listed in the Dubbo Local Environmental Plan 2011 or Wellington Local Environmental Plan 2012 with heritage conservation work.

Responsible Division	Development & Environment.
Program Coordinator and Branch	Senior Planner, Statutory Planning. Building & Development Services.
Applications	August.
Eligibility	Owners of heritage properties/items listed as a heritage item in the Dubbo LEP 2011 or Wellington LEP 2012.
Key Criteria	Eligible works to heritage-listed properties include: repair, maintenance and reinstatement of missing elements.
Application Process	Application form and guidelines (available online).
Assessment Process	Assessment undertaken by the Statutory Planning team/Building & Development Services Branch.
Recommendation Process	Director Development & Environment.
Determination	Councillors.
Reporting	Report to the Office of Environment and Heritage
Return to Council	Recognising the importance of conserving, protecting and caring for local heritage listed buildings within the Dubbo Regional Council area

REPORTING

As of 2020, Dubbo Regional Council purchased the grants software SmartyGrants to assist in the application process, administration process, individual acquittal reports and reporting to Council.

RESPONSIBILITIES

1. Staff

The staff member of Council responsible for managing the request for assistance is required to;

- Ensure applications for financial assistance are received via the most appropriate channel.
- Assess the application in accordance with internal processes and appropriate delegated authority.
- Make recommendations in accordance with guidelines and criteria.
- Consider all applications on merit and alignment to Corporation goals, objectives and responsibilities.
- Gain appropriate approvals from Manager, Director, Executive Leadership Team, Chief Executive Officer.
- Advise the Manager Corporate Image and Communications of any sponsorship agreements involving media.
- Ensure robust assessment processes are applied and maintained in Trim.
- Co-ordinate return benefits in line with the Outgoing Sponsorship Benefits Matrix.
- Oversee return of acquittals, assess and place in Trim.
- Create processes to address issues of non-compliance around benefits to be returned and acquittals via guidelines/terms and conditions.
- Report financial assistance via Council's Informal Report.
- Ensure any materials developed in relation to the sponsorship agreement adhere to the Corporate Image Policy and are created to appropriate destination brand/s.

2. Director Culture and Economy

The Director Culture and Economy is responsible for managing the following channels: Event Funding Program (*Emerging Events Fund, Community Events Fund, Destination Event Fund and Event Support Program*)

3. Director Livability

The Director Livability is responsible for managing the following channels: Community Service Fund, Community Financial Assistance Fund, Dubbo Neighbourhood Shopping Precinct CCTV Fund, and Dubbo Regional Sports Council (DRSC) Playing Field Improvement Fund.

4. Director of Development & Environment.

The Director Development & Environment is responsible for managing the following channels: Local Heritage Assistance Fund.

5. Executive Leadership Team

The Executive Leadership Team is responsible for considering applications Event Support Program and Destination Event Fund.

6. Chief Executive Officer

The Chief Executive Officer is responsible for final determination of funding; the Financial Assistance Policy, the Annual Statutory Report and for final determination of the Chief Executive Officer's Sponsor Fund.