
POLICY 3 – DISTRIBUTING FUNDS

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1. Overarching Statement

This policy sets out the rationale, structure and procedures for the disbursement of funds. It reminds Trustees that they are appointed to advance the Trust, to meet its goals and to pass on this responsibility to future Trustees.

Use of monies and assets raised by the Citizen Advocacy Australia (CAA) and donations to Citizen Advocacy Trust of Australia (CATA) will remain focused on citizen advocacy as listed in the Company's objects in the Constitution (Appendix 1). Funds will be used only for quality development and practice, support, promotion and safeguarding of citizen advocacy; funds will not be used for "other good causes".

The distribution of funds by the Board of Directors to support, protect and develop the Citizen Advocacy model will be publicised as the core work of CATA. This will take the form of grants to eligible existing, and the formation of new, Citizen Advocacy Programmes. The trustees recognize that a major part of the work of CAA and CATA is to create sufficient capital and resources to allow regular grants to be made. The trustees will remain committed to the development of capital until such time as funds allow sufficient size and number of grants, including possible regular grants for new Citizen Advocacy Programmes the Trust has helped to establish.

All grants will comply with the Company's objects, the Trust deed, regulations for charities, and Australian law. Grants will be decided on merit, in a fair and objective manner. The trustees look forward to making grants promoting appropriate innovative good practice and philosophy which will help the whole citizen advocacy movement.

The Directors must be aware of and follow all legal requirements for trusts, charities, ACNC and the ATO. The Directors must also ensure that CAA and CATA is registered as a charity and have authority to fundraise in all states and that the ABN, ACNC and DGR status is maintained.

The Directors will act ethically in its endeavours to disburse grants. All or any graphic, verbal, written or symbolic representations and associations when placed in juxtaposition to people with disabilities will project a positive but honest interpretation of the people, and will protect their dignity.

2. Position of Citizen Advocacy Australia (CAA) as Trustee Company for the Citizen Advocacy Trust of Australia (CATA)

The Trust (with the Company) is needed to ensure the citizen advocacy model remain viable and effective in Australia. It is the only organisation established whose purpose is to promote and protect the quantity and quality of this unique form of advocacy.

CAA and CATA do not carry out citizen advocacy, they are not a peak body, nor do they control or represent Citizen Advocacy Programmes.

There are many pressures on Citizen Advocacy Programmes to include or change to other forms of advocacy in their work; in disbursing funds CAA and CATA will uphold the standards of the citizen advocacy model as described in the Trust Deed and Constitution and will give grants only towards projects and activities which will further the quality development of citizen advocacy. Eligibility for grants will be defined as noted in the Constitution and Trust Deed; Citizen Advocacy Programmes which have moved away from these standards may be encouraged to return to them.

It is essential that CAA and CATA remain publicly and internally committed only to the citizen advocacy model, because previous efforts of combining citizen advocacy with other forms of

advocacy have been universally unsuccessful; the short-term nature of other advocacy forms drives out the personal commitment, long-term and developmental nature of citizen advocacy.

There are many needs in the world and within Australia, and many organisations exist to provide assistance to vulnerable people, all of whom are worthy of help. No one organisation can help them all. The Directors will resist all inducements to broaden the Objects to include other advocacy forms or other causes needing help. Directors carry the fiduciary responsibility and liability to use the Trust assets according to the provisions of the CAA constitution and the CATA deed regardless of their own or the beneficiaries' wishes.

Reliance by Citizen Advocacy Programmes on a single source of funding leaves them vulnerable to funder control, goal displacement and/or economic instability. The Trust provides a mechanism to strengthen citizen advocacy principles and practice through the collection and distribution of monies.

Should CAA be very successful in raising funds it may be possible to use funds to establish Citizen Advocacy Programmes independent of government funding, in accordance with the Objects. The Directors will consider the implications and requirements needed for possible long-term commitment of regular funding support which may be required for such projects.

3. Grant Advisory Committee

A Grant Advisory Committee (the Committee) will meet as required to consider grant applications, and will follow through the process of choosing suitable beneficiaries of a grant or grants. The Committee will make recommendations to the Board of Directors, who will have the final responsibility for allocating grants within the goals of CAA and CATA. Decisions on grant allocations will be final and the Board of Directors will not enter into any discussion or correspondence.

The Committee will consist of 3-5 people of whom at least three including the chairperson will have good knowledge of citizen advocacy principles and good practice, and at least two shall be Board Directors, including the chairperson of the Committee. The Directors will provide terms of reference and procedures for the Committee's work. If any committee member for any grant round has any interests which might be conflicted, or has the potential to be conflicted, that person shall declare them (or others may if not declared) to the chairperson. The chairperson will then consult with the chairman of the Trust, who may remove the committee member from any process of allocation of grants in which interests may be conflicted. The committee members will not discuss or otherwise disclose any information about the grant process or selection procedure except to the Board Directors when it reports to the Board.

The Committee will consider projects which will help achieve the following goals:

- a) help Citizen Advocacy Programmes to survive, thrive and improve their quality of work and governance to make increased numbers of good and lasting citizen advocacy matches
- b) safeguard the independence of Citizen Advocacy Programmes by providing non-conflicted funding
- c) increase quality citizen advocacy practice
- d) fund external reviews, including CAPEs
- e) facilitate training and education in the Citizen Advocacy model

- f) establish quality new Citizen Advocacy Programmes
- g) promote citizen advocacy in the community

4. Grant Making Purpose and Processes

The intention of the Board of Directors is that Trust funds will support existing Citizen Advocacy Programmes to improve the quality of their citizen advocacy practice. The development of new Citizen Advocacy Programmes will be supported by CAA funds.

The Directors are committed to ensuring grants and other disbursements are made on a fair and objective basis on merit and will make grants in accordance with this Policy.

The Board of Directors will determine when applications for a new grant or grants are to be called, and the value of the grants. The Directors may also respond to requests for specific grants outside the usual grant round/s depending on available funds.

The purpose of the Trust in providing grants includes:

- a) assisting Citizen Advocacy Programmes to maintain the highest standards of practice in citizen advocacy
- b) providing protection and help through citizen advocacy for very vulnerable people who have intellectual disability or multiple disabilities and who have no one to speak on their behalf.
- c) empowering Citizen Advocacy Programmes to match more people with intellectual or multiple disabilities with unpaid citizen advocates to protect and help them, and to support these advocates to do this
- d) enabling Citizen Advocacy Programmes to be as independent as possible
- e) developing of more quality Citizen Advocacy Programmes throughout Australia.
- f) assisting new Citizen Advocacy Programmes to develop

4.1 Eligibility for Grants to existing Citizen Advocacy Programmes

An Australian Citizen Advocacy Programme is eligible to apply for grants from the Trust when:

- (a) it is constituted to carry out citizen advocacy and to follow the Citizen Advocacy model. If it also carries out other forms of advocacy, it must be able to demonstrate there are good governance processes in place which ensure the citizen advocacy work is independent in governance and practice from the other forms of advocacy. Programmes must provide a copy of their constitution. The one exception to this requirement is when funding is sought for National Network & Study Group meetings (Appendix VII).
- (b) it undertakes citizen advocacy and is guided by the Citizen Advocacy model as outlined in CAPE (Appendix II)
- (c) its submission for a grant meets one or more of the purposes and goals of the Trust
- (d) it has DGR endorsement from the ATO

- (e) it has been endorsed as a Tax Concession Charity (TCC) by the ATO. Evidence of tax-deductibility status under sections 23 and 78 of the Income Tax Assessment Act 1936 is required, and the Trust Treasurer (or in his/her absence the Chairman) must satisfy himself of this
- (f) it is an Advocacy Programme which has diverged from the citizen advocacy model but is desirous of returning to it.

4.2 Eligibility for the development of new Citizen Advocacy Programmes

People interested in developing a new citizen advocacy programme are eligible to apply for a grant from CAA when a Citizen Advocacy Steering Group has been established. Members of this group will have made a personal commitment and have met regularly over time to collectively explore and learn about the citizen advocacy model and will be able to demonstrate the group's sustainability towards establishing a formal citizen advocacy programme.

A Steering Group must have a specified bank account in order to receive funds.

4.3 Exclusions from Grants

Neither CAA nor CATA accept grant applications from applicants which are not citizen advocacy based on the Citizen Advocacy model, nor are planning to a develop citizen advocacy programme.

The Trust cannot accept applications from Citizen Advocacy Programmes which do not have DGR endorsement from the ATO and which have not been endorsed as a Tax Concession Charity (TCC) by the ATO.

The Trust does not accept applications for grants for activities which are not citizen advocacy, such as:

- (a) direct/staff ("individual/independent") advocacy
- (b) friendship/support circles
- (c) systemic and self-advocacy
- (d) friendship programmes

The Trust will not accept applications for a period of two years from Citizen Advocacy Programmes or other grant recipients that have not satisfactorily acquitted a previous grant from the Trust, unless the Directors can be convinced that that commitment will be honoured in future.

4.4 Funding Distribution Process

The Board will determine when applications for grant offers are available and the value of the grant. Information about any other grant opportunities will be distributed to the citizen advocacy network in a timely manner.

All potential applicants have access to the Grant Guidelines (Appendix III), the relevant Grant Application form (Appendix IV, VII or VIII) www.citizenadvocacytrust.com.au or a hard copy upon request.

The Trust and its Grant Committee will act fairly and objectively in assessing applications against the above purposes and goals, and the following guidelines:

- (a) a commitment to practicing citizen advocacy according to the model -
The Trust supports organisations, Programmes and individuals who can demonstrate effective citizen advocacy practice
- (b) an emphasis on continual improvement -
The Trust seeks to support Citizen Advocacy Programmes to carry out and act upon external evaluation of citizen advocacy activities and to participate in learning and education opportunities
- (c) potential for viability -
Trust grants have greater impact when combined with support from other sources. These might include other trusts and foundations, government, business, and community. The Trust is happy to be one of a number of supporters of a Citizen Advocacy Programme
- (d) long-term thinking and planning -
The Trust seeks to fund Citizen Advocacy Programmes with grant purposes that will continue to have an impact well beyond the period of our support.
- e) development of new advocacy programmes -
The CAA seeks to support people who have formed a Steering Group as defined in Appendix II

4.5 Grant Application and Assessment Process

- (a) The completed relevant Grant application will be received within two months from the grant call. The Grant Committee will ascertain if all documentation is in order. If that is not the case, a reminder will be sent and if outstanding documentation is not received within one week, the application will not be considered in that round.
- (b) The Grant Committee will meet within one month to determine successful applicant/s. In the event there is a large number for consideration, the Board may extend the period and applicants will be notified accordingly.
- (c) The Grant Committee will assess the applications and notify the Board of its recommendations.
- (d) Grants will be made only if there are applications of sufficient merit.
- (e) The Board will consider the recommendations, award the grant/s and notify the successful applicant/s. Two copies of the relevant Grant Agreement and a Report and Acquittal form will be enclosed.
- (f) Unsuccessful applicants will be notified within two weeks of the Board decision.
- (g) The successful applicant (the grantee) will notify acceptance of the grant conditions, and return one signed copy of the Grant Agreement to the Trust
- (h) When the signed agreement is received the Trust Treasurer will forward the grant amount awarded.

In general, all projects receiving grants should be completed within 12 months of receipt of the grant. If the project is a CAPE, it is expected that the evaluation will be held within nine months of the receipt of a grant, and the Report & Acquittal form returned no later than 6 months after the evaluation. Extensions should be approved by the Directors in writing

before payment of the grant, or in the event of unforeseen circumstances these should be notified as soon as they become known for possible time extensions to be agreed.

Only one application per call is permitted from any applicant. Applications which have been unsuccessful may be re-lodged at subsequent calls unless otherwise indicated by the Board.

4.6 Grant Agreement

The relevant Grant Agreement will be signed by the entity receiving a grant and the CAA Chairman. Recipients will sign the relevant Grant Agreement before payment is made. Grant Agreements will be developed according to each Grant Application for specific projects. The following points give an understanding of the usual requirements for agreement.

The Grantee will:

- (a) acknowledge the assistance of the CAA /CATA in any published or display material
- (b) use the whole of the grant exclusively for the project as set out in the application and not for any other purpose
- (c) make every effort to complete the project within the agreed specified time, usually twelve months from the date of receipt of the grant
- (d) promptly advise the Directors of any unexpected circumstances which may affect the grantee's ability to undertake or complete the project within the specified time. Any extension will be negotiated accordingly
- (e) show the grant separately in its books of account and keep records adequate to enable the use of grant funds to be checked readily
- (f) undertake to complete a Grant Report and Acquittal within the agreed time
- (g) make available quotes, stories, and /or photos to the Trust as outlined in the Grant Report and Acquittal.

4.7 Grant Report and Acquittal Process

The grantee will complete the relevant Grant Report and Acquittal form (within 2 months of the project's completion and return it to the Directors. If the project is completed after the agreed time, the Board will require a report within one month of the project's completion. If the project is a CAPE, the Grant Report & Acquittal form will be returned 6 months after the evaluation.

If the Acquittal and/or Report is not acceptable, the Directors reserve the right to work with the grantee in order to achieve a conclusion to the grant process that will allow for reflection and learning by the grantee, and meet the requirements of CAA/CATA.

The Grant Report and Acquittal form will include the following points:

- (a) a brief description of the project at the time of the report
- (b) a brief outline of any changes made to the original project and the reason/s why
- (c) outcomes of the project
- (d) who benefited and how
- (e) follow through on a CAPE evaluation

- (f) insights and observations gained
- (g) a signed and dated statement of expenditure of the grant showing:
 - the amount received
 - itemised amounts expended on the project
 - unspent money remaining at the conclusion of the project.

5. Legal Requirements

CAA and CATA must follow the intentions and requirements of the Constitution and Trust Deed.

The Trust must only give grants from money and assets donated to the Trust to:

- (a) Citizen Advocacy Programmes which have DGR endorsement from the ATO
- (b) Citizen Advocacy Programmes which have been endorsed as a Tax Concession Charity (TCC) by the ATO; or
 - which can satisfy the Trust that the Programme is a charitable entity
 - which comply with the conditions set out in the Trust's Constitution and the Trust Deed
- (c) Donations to, or funds raised by, CAA may be disbursed without these limits but are required to be used to meet the Objects as listed in the Constitution

6. Policy Review

This Policy will be reviewed at least every two years by the Grant Committee and its recommendations presented to the Board of Directors for consideration.

Date Policy Ratified or Reviewed	Grant Committee	Role	Date Next Review	Date Policy Last Board Amended
November 2009	Barbara Page-Hanify	Chairperson	November 2011	
November 2012	Rosanne Ott	Chairperson	January 2015	January 2014
February 2015	Christine Venner-Westaway	Chairperson	February 2017	June 2015
February 2021	Heather Hindle	Chairperson	February 2023	February 2021