

GUIDELINES: HOW TO APPLY FOR A GRANT FROM THE ROSS TRUST

The Trustees of the Ross Trust want the income of the Trust to have a positive impact on people's lives. As the amount of income with which to make grants is limited, the Trust must make choices. It aims to direct its grants to areas of high priority need where evidence suggests the Trust's funds could be used to best advantage. It is vital that you read these Guidelines before making a decision about applying to the Trust for a grant.

What do you have to do to make an application?

To apply for a **Prospectus Development Grant** see **Section 5** of these Guidelines

For all other applications, please read the following steps you need to take.

1. You should check whether:

- a. your organisation is **eligible** to apply;
- b. your proposal comes within one of the Ross Trust's four **Impact areas**;
- c. the **purpose** for which the grant will be used is eligible; and
- d. the **amount** you are seeking and the **period of time** over which you want the grant, are realistic.

2. You will need to look at:

- a. the list of **common factors** which the Trustees consider in deciding on grants;
- b. the specific factors which apply to each of the four **Impact areas**;
- c. the **headings** you will need to use in writing your application – **there is no application form**;
- d. the **financial information** you will need to provide; and
- e. the **documents** you will need to provide.

3. AFTER reading the Guidelines, you must telephone the Ross Trust office to speak to a member of staff to discuss **whether you are eligible** to submit a written application.

4. If, following your telephone discussion, you have been told by a staff member of the Ross Trust that you are eligible, you will need to submit your application in writing – there are **no closing dates** for applications.

About The R E Ross Trust

The R E Ross Trust is a perpetual charitable Trust established in Victoria in 1970 by the will of the late Roy Everard Ross. Its operations are governed by Mr Ross' will, the Trustees Act 1958 and decisions made by the Trustees from time to time. Information about Mr Ross, the Trust, the Trustees and the special collaborations in which the Trust is involved, is available from the Trust's web site (www.rosstrust.org.au). The Trust is an Income Tax Exempt Charity but is not a Deductible Gift Recipient.

1 a. Are you eligible to apply for a grant?

You must be an **organisation** to be eligible to apply. You do **not** need to be:

- ≈ incorporated (although the Ross Trust prefers that you are); or
- ≈ a Deductible Gift Recipient; or
- ≈ an Income Tax Exempt Charity (ITEC).

Only **organisations in Victoria** or organisations proposing to **use the grant funds in Victoria** are eligible to apply. Applications which are made **by individuals** either for their own personal benefit or for the benefit of the other nominated individuals are not eligible and **will not be accepted**.

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1 b. Does your proposal come within one of the Ross Trust's four Impact areas?

The Ross Trust's granting priorities are expressed in terms of the impacts towards which the Trust aims to contribute. **You must identify under which of the following Impact areas your grant is being sought.**

Impact areas

- A.** Improvement of social and economic outcomes for the **most** disadvantaged and vulnerable people in Victoria.
- B.** Improvement of outcomes for children in their early years.
- C.** Improvement of access to and achievement of equity and excellence in public education.
- D.** Protection and preservation of Australian indigenous flora and fauna.

These impact areas are described in more detail later in these Guidelines and areas which are not covered and for which applications will not be accepted are described also.

1 c. Is the purpose for which you are seeking the grant an eligible purpose?

There are **three purposes** for which a grant towards one of the four above Impacts may be sought and an application may seek to achieve more than one purpose. The three purposes are:

- i.** recurrent funding for general operations;
- ii.** funds for specific activities, services, projects and programs; and
- iii.** building and strengthening organisational capacity.

There are some purposes for which **grants will not be made**. These are:

- ≈ capital fund raising for major building purchase, construction and maintenance works, including aged care accommodation;
- ≈ general fund raising appeals;
- ≈ purchases of major items of equipment and motor vehicles;
- ≈ purchase of buses;
- ≈ support for organisations and activities which are too restrictive in their application to groups defined by religion or ethnic origin; and
- ≈ the personal benefit of nominated individuals.

1 d. Is the amount you are seeking and the period of time over which you want the grant, realistic?

There are **no maximum or minimum amounts** for which grants may be sought but the vast majority of grants made by the Ross Trust are under \$30,000 to be used over 12 months. The median (average) has been within the grant range \$10,000 to \$14,999 and the total has ranged from a few hundred dollars to an exceptional \$1 million.

Grants may be sought for periods of **up to three years**.

2 a. What are the common factors the Ross Trustees consider in deciding on grants?

The following factors are considered by the Trustees in deciding on all applications, irrespective of their Impact area or purpose:

- ≈ the need;
- ≈ the number of people who will benefit;
- ≈ cost/effectiveness;
- ≈ the inclusion of a suitable method for assessing or evaluating success;
- ≈ potential future benefits;
- ≈ availability of alternative sources of funding; and
- ≈ the number of volunteers involved and the extent of their involvement.

2 b. What are the specific factors which apply to each of the Ross Trust's four Impact areas?

There are some **specific factors** which apply to each **Impact area** and these are shown in the boxes below. Applications need to show how the grant you are seeking relates to these factors.

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The four Impact areas do **not** cover the following areas and **unsolicited applications for grants will not be considered** by the Ross Trust for these purposes:

- ≈ support for the arts **but** please note that arts and cultural activities **are** an acceptable method for achieving impact under the three Impact areas A to C.
- ≈ provision of health and medical services;
- ≈ scientific, including medical, research;
- ≈ doctoral and post-doctoral research;
- ≈ protection and welfare of domestic animals.

Impact area A. Improved social and economic outcomes for the most disadvantaged and vulnerable people in Victoria.

Please be mindful that the Ross Trust is concerned to assist the **most** disadvantaged and vulnerable. The Trust's current priorities are those experiencing financial disadvantage, family violence, and homelessness; people with cognitive impairment, mental illness, mental ill health and psychiatric disabilities; offenders, ex-offenders, those at risk of offending and their families; refugee and asylum seekers; and those living in very small rural communities.

Applications in respect of improving social and economic outcomes Indigenous Australians will also be considered under this Impact area.

Applications must show how what is being proposed will result in improved outcomes and how the extent of improvement will be measured, assessed or evaluated.

The Ross Trust recognises that outcomes may be achieved in many ways, for example, through arts, cultural, recreational and sporting activities; provision of community and personal services; development of capacity in organisations, including professional development of staff and volunteers; delivery of education and training; publication and dissemination of knowledge and information.

The settings in which organisations might operate or undertake activities, services, projects and programs include schools, other educational organisations, employment and training services, prisons, neighbourhood houses, juvenile justice services, specialised youth community services agencies, home-based settings, workplaces, and sports, recreation and social clubs.

Applications to improve outcomes for Indigenous people will be eligible only if the applicant is an Indigenous-controlled or managed organisation, an organisation working in collaboration with an Indigenous-controlled or managed organisation; or an organisation with Indigenous board members, staff or advisers or with proposals to engage them.

The Trust is currently not accepting any further unsolicited applications for the purposes for emergency relief and material aid for the financial year 2008-2009.

Impact area B. Improved outcomes for children in their early years.

Early years covers the period from 0 years of age up to and including the first two years of primary school. Applications should include the evidence on which the proposal is based and show how many and in which ways, children will benefit.

Impact area C. Improved access to and achievement of equity and excellence in public education.

The main focus is on primary and secondary schooling although tertiary education is not excluded. Schools that meet the "public education" test for the purposes of the Ross Trust are those which have a public curriculum, provide reasonable access to school for all students, and are accountable for duty of care and quality of delivery (after *equity, excellence and effectiveness*, Education Foundation Australia, 2005). Schools which the Ross Trust regards as meeting the public education test are schools within the

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government and Catholic systems and independent schools which receive public funding and which do not have restrictions to entry in terms of religion, culture or ethnicity.

Continued next page.

Impact area C. Improved access to and achievement of equity and excellence in public education.

Continued from previous page.

Community organisations working to re-engage discouraged students in public education may also meet the public education test.

The Ross Trust acknowledges that excellence is attained in these schools but the quality of education delivered to students is not equal across schools in Victoria and access and choice of access are not equally distributed among these schools.

Applications should include the evidence on which the proposal is based, show how equity and/or excellence in public education will be improved and show how many and in which ways, students will benefit.

Impact area D. Protection and preservation of Australian indigenous flora and fauna.

Applications under this Impact area should:

- show the biological and/or botanical arguments and evidence as to why and how the proposed action will contribute to the protection and preservation of at-risk and endangered indigenous species flora and/or fauna and the conservation value of that flora and/or fauna; and if the purchase of land is being proposed, conservation values must be high and the application must show how the land will be managed in the future to protect these values; and
- demonstrate how the proposed action will contribute to a broader landscape scale approach, for example, how it will engage with private land holders and users, government bodies, non-government bodies and the local and regional communities; and

Applications for environmental education are not likely to be successful.

2 c. What are the headings you will need to use in writing your application?

There is no standard application form. The following headings are provided as a guide to the information you should include in your application.

Use these headings:

Provide the following information under each heading:

- | | |
|--|---|
| I. The name of applicant's contact person and their contact details. | Provide the name of the person in the organisation who can be spoken to about the application and their telephone number and email address. |
| II. The Ross Trust Impact area under which the application is being made | Specify which of the Impact areas A to D above. |
| III. For Impact area A, the main priority group for which the application is being made. | Specify the type of disadvantage and vulnerability you are targeting. |
| IV. The number of years for which the grant is being sought. | Specify the number of years. |
| V. The amount of grant being sought. | Specify the total dollar amount and the amount for each of the years for which a grant is being sought. |
| VI. The purpose for which the grant is being sought. | Specify which of the three possible purposes I to iii listed above. |

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- VII. Information about the organisation making the application. A brief description of the organisation, including its aims and those who benefit from its operation.
- The number of salaried personnel, equivalent full time staff (EFT) and volunteers working for the organisation and an organisation chart.
- The year in which the organisation was established and any major changes since that time, with an emphasis on the last five years.
- The names of members of the Board or Committee of Management.
- The number of sites at which the organisation operates and the location of its head office.
- VIII. Information to describe in some detail how the Ross Trust grant will be used and its use evaluated. Refer to the specific requirements listed below for each Ross Trust **Impact area** and show how the **purpose** for which the organisation is seeking the grant will contribute to achieving the Impact you have selected. Include the following information:
- ≈ aims and objectives;
 - ≈ methodology;
 - ≈ people to be engaged in undertaking the work;
 - ≈ measures of success;
 - ≈ any next steps you will take, for example, to
 - ~ sustain an activity, service, program etc into the future,
 - ~ disseminate results.
 - ≈ research evidence;
 - ≈ desired outcomes;
 - ≈ timetable and milestones;
 - ≈ collaborators/partners;
 - ≈ evaluation method; and

2 d. What financial information do you need to provide with your application?

Two types of financial information are required:

- i. financial information about the applicant **organisation**.
- ii. A budget and cash flow for the **specific activity, service, project or program** for which assistance is being sought from the Trust.

To provide this detail, if a staff member of the Ross Trust has given you approval to submit an application, **please complete the form appended to these Guidelines** and submit it with your application.

2 e. What other documents do you need to provide with your application?

Organisations need to provide with their written application:

- ≈ a copy of their most recent Annual Report;
- ≈ evidence of Australia Taxation Office endorsement of the charitable status of the organisation or, if the tax status is legislated, a copy of section of the Income Tax Assessment Act showing the organisation;
- ≈ evidence of Australia Taxation Office endorsement, if the organisation is registered for GST; and
- ≈ a copy of the organisation's incorporation certificate if the organisation does not have charitable status.

Seven (7) copies of each application are required.

Organisations need to provide seven (7) copies of their application, **six (6) of which are NOT to be bound** please. Please note that only one copy of the Annual Report, audited financial statements, ATO documents, and incorporation certificate need be provided.

Organisations should NOT provide additional materials.

Please do **not** submit copies of other reports, CDs, DVDs, videos or other material to support your application. If materials such as these are required, staff from the Ross Trust will request them from you. If

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you do send these materials, the Ross Trust will dispose of them as it is not prepared to meet the cost of returning them.

3. Telephone the Ross Trust office on 03 9690 6255 to speak to a member of staff before submitting a written application.

When you have checked that your proposal is eligible in terms of the Ross Trust Impact areas and purposes; and have looked at the factors the Trustees will consider and the information you will be required to provide, please telephone the Ross Trust office on 03 9690 6255 to verify your eligibility.

The telephone call is intended to save you going to the considerable effort it takes to prepare an application, if that application is not likely to be eligible.

4. If the Ross Trust staff member has given agreement, please submit your application in writing. Please do not put the Ross Trust logo on your application.

There are no formal closing dates for the submission of applications to the Trust. The Trustees meet throughout the year and applications will usually be considered at a meeting of Trustees within six to 10 weeks after an application has been received by the Trust.

Lodgement and receipt of applications

You may lodge your written application by **post** or **delivery** to the address below. The Trust will acknowledge its receipt of your application in writing within 10 days. Applications received by email will not be processed.

The R. E. Ross Trust, 7th Floor, 24 Albert Road, South Melbourne, Victoria 3205

5. Prospectus Development Grants Program

The Ross Trust acknowledges that most not-for-profit organisations must seek their funding from a diverse range of sources – government and philanthropic grants, commercial business sponsorships and donations from businesses and individuals. One of the aims of the Ross Trust is to help not-for-profit organisations improve their capacity to source the funds they need to meet high priority community needs.

As one way of providing this help, in November 2007, the Ross Trust published *Inviting Investment in Social Enterprises: A Prospectus Framework for the Social Sector*. This publication is designed to be a user-friendly guide for not-for-profit organisations in how to prepare a prospectus-style document to communicate clearly the case for potential donors to invest in the organisation and its work. *Inviting Investment in Social Enterprises* is available for downloading from the Ross Trust's web site.

In February 2008, the Trust decided to institute a Prospectus Development Grants Program to assist organisations to use the Framework to prepare a prospectus. As *Inviting Investment* makes clear, the development of a prospectus "will not be appropriate for all organisations in the social sector. Taking this approach requires a serious commitment of time, resources and thought from senior management. *Organisations that have systems for organisational and strategic planning and are clear about their social mission and purpose are likely to derive the most benefit from the framework.*"

If you have read *Inviting Investment in Social Enterprises: A Prospectus Framework for the Social Sector* and senior management considers that your organisation should and is ready to develop a prospectus, you may apply for a grant of up to \$10,000. **Your application must clearly set out the reasons your organisation needs financial assistance** in order to develop a prospectus and **the purposes** to which the grant funds will be put. Your application also needs to include:

The name of applicant's contact person and their contact details: provide the name of the person in the organisation who can be spoken to about the application and their telephone number and email address.

The amount of grant being sought.

Information about the organisation making the application:

- a brief description of the organisation, including its aims and those who benefit from its operation;

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- the number of salaried personnel, equivalent full time staff (EFT) and volunteers working for the organisation and an organisation chart;
- the year in which the organisation was established and any major changes since that time, with an emphasis on the last five years;
- the names of members of the Board or Committee of Management; and
- the number of sites at which the organisation operates and the location of its head office.

You will also need to provide financial information and other documents – please see Sections 2d and 2e above

Seven unbound copies of your written application may be lodged by **post** or **delivery** to **The R. E. Ross Trust, 7th Floor, 24 Albert Road, South Melbourne, Victoria 3205**. The Trust will acknowledge its receipt of your application in writing within 10 days. Applications received by email will not be processed.

Privacy Statement

The Privacy Act 1988 (Cth) contains provisions which regulate the way many private sector organisations collect, use, keep secure and disclose personal information. Consequently, The R. E. Ross Trust needs to inform you that any personal information you include in your application is used for the primary purpose of enabling the Trustees to decide whether to make a grant of Trust funds to your organisation.

Your application and any personal information it contains, is stored securely in our files at the above address. In circumstances required by law, we disclose your personal information to the Australian Taxation Office, other Government bodies and our auditors.

The Privacy Act gives you a right of access to the personal information we hold; please contact us if you want to inspect, copy, update or correct it.

Information about the Privacy Act is available from the Office of the Federal Privacy Commissioner at www.privacy.gov.au or 1300 363 992 (local call charge).

Which other charitable trusts and foundations accept applications for grants?

Other Trusts and Foundations

The R E Ross Trust is a member of Philanthropy Australia (www.philanthropy.org.au), the national membership organisation for grantmaking trusts and foundations. Philanthropy Australia promotes giving and represents those that give to the community. Members include family, private, corporate and community donors in Australia. Philanthropy Australia publishes *The Australian Directory of Philanthropy* as a source of information for grant applicants about individual Trusts and Foundations, including their purpose, priority interests, application procedures, grant exclusions, geographic scope and legal limitations.

Most of the larger Trusts and Foundations have web sites and links to some of these can be found on the Ross Trust's web site.

Volunteers

Organisations which are considering whether volunteers are available to undertake activities, including activities which require specialist skills and experience, might consider consulting bodies such as goodcompany (www.goodcompany.com.au) and Volunteering Australia (www.volunteeringaustralia.org).

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Financial information to be provided with your application.

i. Information about the applicant organisation

- a. Please include a copy of the most recent audited annual financial statements with your application.
- b. Please enter the relevant information extracted from the financial statements and as necessary supplemented from other sources as follows:

- | | |
|--|-----------|
| i. Net assets; | i. |
| ii. Reserves; | ii. |
| iii. Accumulated income; | iii. |
| iv. Annual revenue; | iv. |
| v. Annual revenue from all government sources; | v. |
| vi. Annual expenditure; | vi. |
| vii. Net surplus or deficit; and | vii. |

viii. attach brief notes on:

- ~ the reasons for cash deficits (if applicable);
- ~ whether significant cash surpluses are the result of timing of revenue and/or expenditure or other reasons;
- ~ whether significant reserves are being accumulated for any future major purposes or are invested to generate operating revenue or exist for some other purpose; and
- ~ any concerns about the financial viability of the organisation.

ii. A Budget and cash flow for any specific activity, service, project or program for which a grant is being sought.

- a. An itemised total budget for each year for which a grant is being sought showing estimated expenditure and revenue and the particular purposes for which the Ross Trust grant will be used.
 - i. Budget expenditure items should include but are not limited to:
 - ~ Salaries and related costs;
 - ~ Consultancy fees;
 - ~ Administration costs, including any costs for premises;
 - ~ Travel; and;
 - ~ Equipment.
 - ii. Budget revenue items should include but are not limited to:
 - ~ Funding from all levels of government – proposed and confirmed;
 - ~ The organisation's own contribution;
 - ~ Estimated sales, fees, user charges; and
 - ~ Donations and grants from sources other than governments – proposed and confirmed.
- b. A cash flow showing revenue and expenditure for each month of the first 12 months and for each year of any second or third year for which a grant is being sought.