

# CORPORATE POLICY



Policy Title: **Grant Policy**  
Policy Category: **Financial Control**  
Policy No.: FC-004  
Department: Finance  
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Author: Cassandra Pacey  
Attachments:  
Related Documents/Legislation:  
Key Word(s): Grant

## **POLICY STATEMENT:**

The Council for the City of Waterloo is committed to demonstrating financial leadership and sustainability. This policy assists in formalizing a defined and transparent process for the tracking of grant applications and of successful applications.

## **PURPOSE:**

During any given year, the City of Waterloo applies for various grant opportunities that can provide either operating or capital grant funding to supplement or provide additional funding. It is important that the impact of these requests is understood, addressed and approved prior to the grant applications being submitted and that **all grants are reviewed by Finance prior to being submitted to the grant organization.**

Should grant applications be contemplated that require funding by the City of Waterloo or exceed the approved budget, approval must be requested and obtained advance and in order for the grant application to be submitted. In exceptional circumstances where the timeline does not allow for preapproval, grant applications will be submitted and brought to appropriate approval body (CMT or Council) at the next possible meeting.

**Mandatory Policy, *Municipal Act*: No**  
**Policy Administration Team, Review Date: June 5, 2012**  
**Corporate Management Team, Review Date: June 6, 2012**

**DEFINITIONS:**

**Grant:**

A gift in monetary or in kind terms by another government, agency or organization for specified purposes which are usually defined by specified qualification or terms. At times, a grant may require the proportional contribution by the grantee.

**Application Grant:**

A grant that the City of Waterloo is required to apply for and is used for specified purposes which are usually defined by specified qualification or terms.

**Funding Transfers:**

A transfer of funding from another government, agency or organization that has general purposes which are usually defined by specified qualification or terms.

**Grant Coordinator**

A Finance staff member assigned the responsibility of following the roles and responsibilities outlined for this position.

**SCOPE:**

This policy applies to all members of the City's organization including members of Council, full, part-time, contract staff.

**POLICY COMMUNICATION:**

The policy will be posted on the City Intranet and staff will be advised of the new policy via distribution to the Operational Leadership Team (OLT) and Corporate Management Team (CMT).

**POLICY:**

**1. Grants Coordinator:**

A) Grant Opportunities

- Actively seek out grant opportunities
- Review grant eligibility and requirements to determine viability for the City of Waterloo
- Facilitate a corporate review of alternative project candidates (if applicable) via CMT
- Facilitate a review of funding options if a financial commitment is required from the City and the project is not budgeted
- Work with the department contact to identify the Return on Investment (ROI)
- Endorse the financial implications and related ROI

- Work with the department to complete a joint CMT or Council Report (as identified per the thresholds identified in Part 3 – Approvals) and submit for approval prior to application submission that includes (where applicable) the following;
  - An outline of the grant program
  - Internal project evaluation process
  - Financial implications and funding sources
  - Return on Investment (ROI)
- Provide assistance to staff where possible in completing the application
- Liaise with senior levels of government
- Provide Council with a bi-annual update of all grants applications

#### B) Projects Selected to Submit a Grant Application

- Provide assistance to departmental staff to complete the grant application for the financial requirements
- If the grant application is successful, that these steps are followed:
  - Work with departmental staff to communicate the outcome of the application
  - Ensure all reporting requirements are understood
    - If any reporting requirements involve submitting or retaining documentation, that Finance coordinates this in conjunction with department contact
- Retain a copy of the signed agreement

#### C) Grant Application Information

- The Grants Coordinator position will maintain the following information;
  - Application Based Grants
    - Grant Application
    - Funding Agency and Program
    - Grant Funding
    - Total Budget and City Contribution
    - Grant Application Status
  - Funding Transfer (e.g. Federal Gas Tax)
    - Grant
    - Funding Agency and Program
    - Grant Budget and City Contribution
    - Total Budget and Total Expenditures
  - Provide summarized application based grant update to Council in January of each year

## 2. Role of Departments:

### A) Grant Opportunities

- Actively seek out grant opportunities
- Provide information on allocated grants to the Grant Coordinator on an annual basis
- Engage the Grants Coordinator to review grant opportunities
- Work with Grants Coordinator to provide information needed to assess eligibility of project candidates
- Identify financial commitments and funding options required by the City of Waterloo
- Identify the project related Return on Investment and financial implications
- Work with the Grants Coordinator to complete a joint CMT or Council Report (for the identified thresholds in Part 3 – Approvals) and submit for approval prior to application submission that includes (where applicable) the following;
  - An outline of the grant program
  - Internal project evaluation process
  - Identify the Return on Investment (ROI), Financial Implications and Funding Sources

### B) Projects Selected to Submit a Grant Application

- Work with the Grants Coordinator to complete the grant application
  - The department contact is the main contact on the application
- If the grant application is successful, that these steps are followed:
  - Work with the Grants Coordinator to communicate, the outcome of the application
  - Ensure all reporting requirements are understood
    - If any reporting requirements involve submitting or retaining documentation, that this is completed in conjunction with the Grants Coordinator

### 3. Approvals:

The following approvals will be required for grant applications prior to the application being submitted:

Table 1

<b>Financial Commitment Required by the City of Waterloo</b>	<b>Approval Required by</b>
> \$25,000 and < \$100,000	CMT
> \$100,000	Council

- The financial commitments identified in Table 1 are for both budgeted and unbudgeted financial requirements
- Grant applications requiring funding for new staff will require Council Approval regardless of monetary threshold
- Grant applications may require a certified Council resolution as part of the application requirements
- That under exceptional circumstances where the timeline does not allow for preapproval, grant applications will be submitted and brought to appropriate approval body at the next possible meeting. (e.g. Stimulus Grant Applications, applications during summer months)
- That Council authorize the Mayor and the Clerk to sign grant application forms for projects or initiatives that are less than \$100,000 that have met the approval thresholds identified within the Grant Policy
- That Council authorize the Mayor and Clerk to sign updates and amendments to funding transfer payments, previously approved by Council.
- That Council authorize Project Managers to sign grant applications less than \$25,000 with a no financial commitment required by the City of Waterloo
- That Council authorize the Project Manager, Facilities & Fleet to sign Waterloo North Hydro (WNH) Save-on-Energy Program grant applications with no financial commitment required by the City of Waterloo