

CORPORATE POLICY



Policy Title: **Grant Policy**
Policy Category: **Financial Control**
Policy No.: FC-004
Department: Finance
Approval Date: June 18, 2012
Revision Date: December 11, 2017
Author: Kim Reger
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 in 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: Nov. 28, 2017
Corporate Management Team, Review Date: Nov. 15, 2017

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 benefits/costs of undertaking the application
- Endorse the financial implications

- 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
 - Benefits/costs including community benefits
- 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 benefits and costs, 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. The table also outlines the appropriate level of approval level and signing authority for grant applications, agreements and related documents as well as financial reports, summaries, progress reports and claims submissions.

Section	Type of Document	Staff Position authorized to Execute Document	Terms, Conditions, Pre-Requisites or Other Conditions Which Must be Satisfied Prior to Execution
1	<p>*Grant Applications, Agreements & related documents (where City applies for Grants)</p> <ul style="list-style-type: none"> - Grant value of less than \$25,000 with no financial commitment (monetary) by the City - Grant value between \$25,000 and \$100,000 with no financial commitment (monetary) by the City - Grant value of more than \$100,000 with no financial commitment (monetary) by the City 	<p>Project Manager and/or Manager</p> <p>Director of Financial Planning and Procurement or designate</p> <p>Commissioner, CFO & Treasurer, Corporate Services or designate</p>	<p>Approval by applicable Manager and compliance with Grant Policy FC-004</p> <p>Approval by applicable Manager and compliance with Grant Policy FC-004</p> <p>Approval by applicable Director and compliance with Grant Policy FC-004</p>

* Grantor sign off requirements supersede internal authorization requirements per grant application if they require a higher level of approval authority; therefore, always refer to required approvals within grant documentation.

Section	Type of Document	Staff Position authorized to Execute Document	Terms, Conditions, Pre-Requisites or Other Conditions Which Must be Satisfied Prior to Execution
	<ul style="list-style-type: none"> - Financial commitment required by the City of less than \$25,000 - Financial commitment required by the City between \$25,000 and \$100,000 - Financial commitment required by the City of more than \$100,000, or where grant/grant application requires funding for new staff 	<p>Manager or designate</p> <p>CAO or designate</p> <p>Mayor & City Clerk</p>	<p>Director approval, within approved budget or otherwise in compliance with Financial Policy FC-002 “financial Requests Outside of the Budget Process”, and compliance with Grant Policy FC-004</p> <p>Corporate Management Team approval, within approved budget or otherwise in compliance with Financial Policy FC-002 “Financial Requests Outside of the Budget Process”, and compliance with Grant Policy FC-004</p> <p>Council Approval, within approved budget or otherwise in compliance with Financial Policy FC-002 “Financial Requests Outside of the Budget Process”, and compliance with Grant Policy FC-004</p> <p>For Agreements with financial commitment of more than \$100,000 (except Agreements with the Province of Ontario</p>

Section	Type of Document	Staff Position authorized to Execute Document	Terms, Conditions, Pre-Requisites or Other Conditions Which Must be Satisfied Prior to Execution
	<p>*Financial reports/summaries, progress reports and claims submissions relating to Grant Agreements:</p> <p>-Grant value of less than \$25,000 with no financial commitment (monetary) by City</p> <p>-Grant value between \$25,000 and \$100,000 with no financial commitment (monetary) by City</p> <p>-Grant value of more than \$100,000 with no financial commitment (monetary) by City</p>	<p>Financial Analyst or designate</p> <p>Director of Financial Planning and Procurement or designate</p> <p>Commissioner, CFO & Treasurer, Corporate Services or designate</p>	<p>or Government of Canada, or their agencies) form of Agreement to also be approved by City Solicitor or designate.</p>

* Grantor sign off requirements supersede internal authorization requirements per grant application if they require a higher level of approval authority; therefore, always refer to required approvals within grant documentation.

Section	Type of Document	Staff Position authorized to Execute Document	Terms, Conditions, Pre-Requisites or Other Conditions Which Must be Satisfied Prior to Execution
	<p>-Financial commitment required by the City up to \$100,000</p> <p>- Financial commitment required by the City of more than \$100,000, or where grant requires funding for new staff</p>	<p>Director of Financial Planning and Procurement or designate</p> <p>Commissioner, CFO & Treasurer, Corporate Services or designate</p>	
2	<p>Time Sensitive Grant Applications where unreasonable to obtain further authority within time frame and where no binding financial commitment flowing from application or where application is merely an EOI</p>	<p>CAO or designate</p>	<p>At the request of the Director of Financial Planning & Procurement or designate and in a form to the satisfaction of the City Solicitor or designate, provided that grant application is brought to the appropriate approval body (see #1 above) at the next possible meeting</p>
3	<p>Grant Applications, Agreements and related</p>	<p>Project Manager, within Facilities &</p>	<p>In form approved by City Solicitor or designate</p>

Section	Type of Document	Staff Position authorized to Execute Document	Terms, Conditions, Pre-Requisites or Other Conditions Which Must be Satisfied Prior to Execution
	documents relating to Waterloo North Hydro (WNH) SaveOn Energy Program and Union Gas - No financial (monetary) commitment by City	Fleet	

Items to take note:

- The financial commitments identified in the table, section 1 are for budgeted financial requirements (this does not exclude unbudgeted items).
- Grant applications may require a certified Council resolution as part of the application requirements.
- As noted in the table, Grantor sign off requirements per grant application supersede internal authorization requirements *if* they require a higher level of approval authority; therefore, always refer to required approvals within grant documentation

COMPLIANCE:

In cases of policy violation, the City may investigate and determine appropriate corrective action.