



Policy Title: **Grant Policy**
Policy Category: **Financial Control**
Policy No.: FC-004
Department: Finance
Approval Date: Dec. 11, 2017
Revision Date: Nov. 17, 2025
Author: Gracjan Oleksinski
Attachments: n/a
Related Documents/
Legislation: n/a
Key Word(s): Grant

POLICY STATEMENT:

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

PURPOSE:

During the 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.

All grant applications require approval before being submitted. Grants are led through a review and approval process by Finance aligned with the approval thresholds in this policy. Understanding and addressing the impacts of each grant is an important part of the process.

Any grant applications that require funding by the City of Waterloo or exceed the Council approved budget, must follow an approval process in advance of the grant submission deadline. In exceptional circumstances where the grant timeline does not allow for preapproval, grant applications will be approved by the CAO, submitted, and brought to the appropriate approval authority (CMT or Council) at the next appropriate meeting.

Mandatory Policy, *Municipal Act*: No
Policy Administration Team, Review Date: Oct. 28, 2025
Corporate Management Team, Review Date: Oct. 15, 2025

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 proportional contribution by the organization requesting the grant.

Grant Application:

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.

Financial Commitment:

A monetary contribution by the City to fund part of the grant program, project, or initiative based on the grant eligibility requirements. Does not include staff time or other in-kind contributions such as, but not limited to, facility rental space provided at a discount or no cost.

Funding Transfer:

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

Grants Coordinator:

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

Transfer Payment Agreement:

An agreement (TPA) that outlines the grant qualification, objectives, terms and timelines that is mutually executed by both parties.

SCOPE:

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

POLICY COMMUNICATION:

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

POLICY:**1. Grants Coordinator:****A) Grant Opportunities**

- Actively seeks out grant opportunities and shares what's available with relevant teams
- Review grant eligibility and requirements alongside relevant staff teams to

-
- determine viability for the City of Waterloo and identify the benefits/costs of applying
- Facilitate a corporate review in collaboration with departmental staff of alternative project candidates (if applicable) via CMT
 - Support departmental staff to explore funding options if a financial commitment is required from the City and the project is not budgeted
 - Endorse the financial implications
 - Meet monthly with the Manager of Financial Planning and Director of Financial Planning and Asset Management to review ongoing active City grants and available open grant programs for potential grant submission.
 - Work with departmental staff to complete a joint CMT or Council Report (as identified per the approval thresholds in this policy) 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
 - Assist departmental staff where possible in completing the grant application and reporting requirements
 - Work with the Government Relations Assistant and Director of Financial Planning and Asset Management to liaise with senior levels of government
- B) Projects Selected to Submit a Grant Application
- Assist 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 as per the Transfer Payment Agreement (TPA) are understood
 - If any reporting requirements involve submitting or retaining documentation, that Finance coordinates this in conjunction with the department contact
 - Retain a copy of the signed agreement/TPA
- C) Grant Application Information
- The Grants Coordinator position will maintain the following information;
 - Grant Opportunities and Tracking Summary
 - Funding Agency and Program
 - Funding available
 - Deadline to apply to the grant
 - Department responsible for completing grant application
 - Grant Applications
 - Grant Application
 - Funding Agency and Program
 - Grant Funding
 - Total Budget and City Contribution
 - Grant Application Status
 - Overview of grant project
 - Feedback received if the grant is unsuccessful

- Funding Transfers (e.g. Canada Community Building Fund)
 - Transfer Agreements
 - Funding Agency and Program
 - Grant Budget and City Contribution
 - Total Budget and Total Expenditures
- Provide summarized update to Council each year of all Grant Applications and Funding Transfers

2. **Role of Departments:**

A) Grant Opportunities

- Actively seek out grant opportunities and share them with the Grants Coordinator
- 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 (as identified in the approval thresholds in this policy) 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 signing authority for grant applications, agreements and related documents as well as financial reports, summaries, progress reports and claims submissions.

For clarity, any authority granted to a particular title may continue to be exercised by staff in that position if a job title set out in the tables is changed or modified, but the nature of the position remains unchanged. The CAO may exercise any authority granted to city staff in this policy, subject to any limitations imposed by statute, regulation or by any other City By-law. Where more than one person is required to sign a document, the CAO may only act for one of them. The Mayor and Clerk may

exercise any authority granted to a Commissioner, Director, Manager or other employee in this policy, subject to any limitations imposed by statute, regulation or by any other City By-law. Where more than one person is required to sign a document, the Clerk may only act for one of them.

Grant Applications - <u>No</u> Financial Commitment by The City		
Grant Applications, Agreements & Related Documents (where City applies) *	Approval Authority Prior to Application	Staff Position Authorized to Execute Grant Applications, Agreements & Related Documents
- Grant value of less than or equal to \$20,000	Approval by applicable Divisional Manager	Divisional Manager
- Grant value more than \$20,000 and less than or equal to \$100,000	Approval by applicable Divisional Director	Manager of Financial Planning or designate
- Grant value of more than \$100,000	Approval by Director of Financial Planning and Asset Management	Director of Financial Planning and Asset Management or designate

* 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.

Grant Applications - Financial Commitment Required by The City		
Grant Applications, Agreements & Related Documents (where City applies) *	Approval Authority Prior to Application	Staff Position Authorized to Execute Grant Applications, Agreements & Related Documents
- Financial commitment required by the City of less than or equal to \$20,000	Divisional Director approval, within approved budget or otherwise in compliance with Financial Policy FC-002	Manager of Financial Planning or designate
- Financial commitment required by the City more than \$20,000 and less than or equal to \$100,000	Divisional Commissioner Approval, within approved budget or otherwise in compliance with Financial Policy FC- 002	Director of Financial Planning and Asset Management or designate
- Financial commitment required by the City of more than \$100,000 and less than \$200,000	Corporate Management Team approval, within approved budget or otherwise in compliance with Financial Policy FC- 002	CAO or designate
- Financial commitment required by the City of \$200,000 or more, or where grant/grant application requires funding for new permanent staff	Council Approval, within approved budget or otherwise in compliance with Financial Policy FC-002	Mayor and City Clerk

* 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.

Financial Reporting and Progress Report Submissions – <u>No</u> Financial Commitment by The City	
Financial reports/summaries, progress reports and claims submissions relating to Grant Agreements *	Staff Position authorized to Execute Documents
<ul style="list-style-type: none"> - Grant value of less than or equal to \$20,000 - Grant value more than \$20,000 and less than or equal to \$100,000 - Grant value of more than \$100,000 	<p>Grant Coordinator</p> <p>Manager of Financial Planning or designate</p> <p>Director of Financial Planning and Asset Management 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.

Financial Reporting and Progress Report Submissions – Financial Commitment Required by The City	
Financial reports/summaries, progress reports and claims submissions relating to Grant Agreements *	Staff Position authorized to Execute Documents
<ul style="list-style-type: none"> - Financial commitment required by the City of less than or equal to \$100,000 - Financial commitment required by the City of \$100,000 or more 	<p>Manager of Financial Planning or designate</p> <p>Director of Financial Planning and Asset Management 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.

Time Sensitive Grant Applications		
Time Sensitive Grants	Approval Authority Prior to Application	Staff Position Authorized to Execute Grant Applications, Agreements & Related Documents
Time Sensitive Grant Applications where unreasonable to obtain further authority within application time frame or deadline, and where no binding financial commitment flowing from application will occur, or where application is merely an expression of interest (EOI)	CAO or designate	Director of Financial Planning and Asset Management, within approved budget or otherwise in compliance with Financial Policy FC-002, provided the grant application is brought to the appropriate approval authority at the next appropriate meeting

OTHER NOTES:

- Grant applications may require a certified Council resolution as part of the application requirements regardless of the grant amount being sought.
- As noted in the tables, Grantor sign off requirements per grant applications 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.