

Item:



Finance, Administration and Audit Committee Report

DATE: Wednesday, June 06, 2018

WARD(S): ALL

TITLE: Grant Funding Process Update

FROM:

Tim Simmonds, Chief Corporate Initiatives and Intergovernmental Relations

ACTION: DECISION

Purpose

In an effort to take a more strategic approach to sourcing and tracking grant funding, an organizational scan of current practices in this area was completed. The results of this scan warrant an update to the current policy, by-law, and procedures that are outdated. As any changes to policies or by-laws require Council resolution, these are being brought forward for this purpose, in addition to sharing information on the new process being implemented.

Recommendations

1. THAT Council approve the updated Grant Funding Policy as presented, including giving Staff the authority to apply for grant funding that supports and aligns to the strategic initiatives and priorities of the City; and
2. THAT Council approve the amendments to by-law 78-2010.

Report Highlights

- The objective of a more strategic approach to grant funding is to increase the volume of grant applications to secure non-taxation revenue to deliver city infrastructure, programs and services
- Revised policy, procedures, and by-law will better support staff in their grant application efforts as current documents are outdated and not aligned with organizational structure and responsibilities

Background

The Municipal Partnerships Office, established in 2016, centralizes revenue generation efforts for the City related to corporate partnerships. One priority for the office is to take a holistic and strategic approach to the City's grant management process with the objective of increasing the volume of grant applications submitted to secure non-taxation revenue to deliver city infrastructure, programs and services.

To assess the existing process, an organizational scan was initiated in consultation with the Financial Planning and Development Finance department who currently support portfolios in their grant application efforts. Feedback was collected from key stakeholders involved in the grant process to address any challenges experienced by staff that could hinder the objective of increasing the volume of applications submitted.

Many challenges experienced by staff related to a need for clarity; specifically, what staff's roles and responsibilities are in the grant process

When completing the organizational scan, common themes were emerging that were in our control to address through an updated policy, by-law and new procedural document. One theme was being unsure of when staff need to submit a report to Council for permission to apply for a grant. With the new policy, it clearly specifies what is required, and encourages staff to apply by removing confusing language around this topic. Another common thread was the desire to collaborate more interdepartmentally to increase the chances of success and mitigate duplicating efforts when completing an application. With a centralized approach for identifying opportunities and tracking applications, the Municipal Partnerships Office can make the necessary connections required for better collaboration. There were also multiple departments who had trouble navigating signing authorities for grant applications, often not knowing who was appropriate to sign. The updated by-law and procedural document addresses this so staff understand who is authorized to sign, and at what stage in the process.

Previous Reports/Authority

All work related to developing the new grant process was done in coordination with the Office of the City Clerk to ensure the policy, procedures, and amended by-law were adjusted appropriately, including use of the newly developed template for policies and procedures. Legal was also consulted on the execution of the by-law amendment and policy. The policy was reviewed by the Policy Review Committee, and a presentation to

CMT and SMT was completed in December 2017 with feedback incorporated into the new process.

Analysis and Options

Current Grant Funding Procurement Policy no. FPDF – 002 (dated 2010.04.13) needs updating to reflect the current landscape of the organization, including removal of staff role of ‘Grant Specialist’ that no longer exists

Besides the fact that the policy is eight years old, there are other indicators for needing an update. These include multiple references to a staff role that no longer exists within the organization (the ‘Grant Specialist’), confusing language and formatting, and administrative components that are more appropriate for a procedural document versus a policy. Due to the references to the ‘Grant Specialist’ role, there is no clear authorization and direction for staff to take ownership of applying for grant funding, which can be done if the grant relates to initiatives corresponding to the City’s strategic priorities. To mitigate risk, if staff wish to apply for funding that does not correspond to the strategic priorities of the City, staff must submit a report to Council for approval before applying for the grant, which is clearly outlined in the updated policy. With the elimination of the ‘Grant Specialist’ role, there was an obvious need for responsibilities to be reallocated, which have been split between the Municipal Partnerships Office, Financial Planning and Development Finance, and departmental staff. This reallocation of responsibilities informed the updated policy as well as a detailed procedural document which will be a helpful step-by-step guide for all staff.

Improvements required to by-law to eliminate unnecessary limitations on staff to apply for grants

In addition to policy improvements, minor updates are required for the existing by-law as well. The existing by-law does not include both signatories that are currently authorized to execute grant applications and agreements, the City Clerk and Chief Financial Officer & City Treasurer, which places unnecessary limitations on staff to expedite applications, and therefore generate funds to support the City. This has been rectified in the amended by-law and referenced explicitly in the policy and procedures to improve clarity and usability for staff.

In addition to clearly defining the grant application process, support will be provided by the Municipal Partnerships Office in identifying grant opportunities

Responding to a need identified by staff, additional support will be provided to research and source funding opportunities for the organization. Opportunities will be captured through a subscription to two grant portals that specialize in aggregating grant opportunities from government funding sources, as well as corporate and private foundations. This information will be regularly funneled to staff based on their departmental initiatives, ensuring staff are aware of opportunities to secure funding to

support infrastructure and operational costs. In addition to this, the Municipal Partnerships Office and the Financial Planning and Development Finance department will work together to track all grant activity in a centralized database to improve reporting efforts on revenue generated and inter-departmental communication.

Financial Impact

With this new approach to grant funding, a positive financial impact to the city is anticipated. Costs related to this initiative include yearly fees to access the two grant portals used to source grant funding opportunities. This fee will be covered through existing budget, with the opportunity to recoup the cost through a portion of successful grant applications.

Broader Regional Impacts/Considerations

With access to a broad range of grant funding sources through this new approach, there will be grants that the city will be ineligible to apply for as a municipality, however, the City will be able to use this information to better direct community groups to grants that are a fit for them to apply. This will help us service our community better and have a positive impact on the City as a whole.

Conclusion

Staff are encouraged to find ways to generate non-taxation revenue to support City initiatives through the Municipal Partnerships Office. With Council approval of the updated Grant Funding Policy and by-law, staff will have clear direction of support for applying for grant funding. This clarity and direction will help enable our objective of increasing the volume of grant applications to secure more non-taxation revenue to deliver city infrastructure, programs, and services.

For more information, please contact: Katie Maginn, Manager Municipal Partnerships, katie.maginn@vaughan.ca, x8841.

Attachments

1. Grant Funding Policy, Corporate Initiatives & Intergovernmental Relations, June 6, 2018
2. By-Law XX-2018, Corporate Initiatives & Intergovernmental Relations, June 6, 2018

Prepared by

Katie Maginn
Manager, Municipal Partnerships
x8841



CITY OF VAUGHAN

CORPORATE POLICY

POLICY TITLE: GRANT FUNDING

POLICY NO.: Policy number to be assigned by Policy Coordinator.

Section:	Donations & Grants		
Effective Date:	June 6, 2018	Date of Last Review:	Click or tap to enter a date.
Approval Authority:	Policy Owner:		
Administration	Chief, Corporate Initiatives & Intergovernmental Relations		

POLICY STATEMENT

Council acknowledges that grant funding helps sustain and deliver city infrastructure, programs and services in a way that is fiscally responsible. This policy will be implemented in accordance with the Grant Funding Procedures.

PURPOSE

The purpose of this document is to provide a policy that welcomes and encourages City staff to apply for grant funding to assist in the provision of City services and projects.

SCOPE

This policy applies to all City of Vaughan staff involved in any grant applications submitted to grant funding sources in the name of the City of Vaughan.

LEGISLATIVE REQUIREMENTS

None.

DEFINITIONS

1. *Grant funding*: Revenue streams provided through funding programs available to local government by way of an application process, direct provision of funds, or subsidies.
2. *Grant funding sources*: Grant funding sources may be comprised of, but not limited to, grant programs provided directly or indirectly through federal, provincial, and international government bodies, and applicable corporate and private sector programs.

POLICY TITLE: GRANT FUNDING

POLICY NO.: Policy number assigned by Policy Coordinator.

POLICY

1. Authorization

- 1.1. Staff are authorized to apply for grant funding that support initiatives that align to the strategic priorities of the City.
- 1.2. Should staff wish to apply for funding that does not correspond to the strategic priorities of the City, staff may submit a report to Council for approval to submit the application.
- 1.3. Applications must be completed according to the Grant Funding Procedures.
- 1.4. Applications must be completed according to the Grant Funding Source's eligibility requirements.

2. Execution of Applications & Agreements

- 2.1. Grant applications and agreements must be executed in accordance with By-Law (insert #) if the Grant Funding Source requires staff with authority to bind the corporation to execute the applications or agreements. If there is no requirement to bind the organization from the Grant Funding Source, staff are authorized to execute an application in accordance with the Grant Funding Policy and Procedures.
- 2.2. If the terms of the grant agreement are included in the application itself, staff must ensure legal counsel has reviewed the terms at the application stage.
- 2.3. If the grant funding source requires a Council resolution to apply or to execute an agreement, the department completing the application and receiving the grant funding is responsible for obtaining the Council resolution.

3. Grant Funding Source Criteria

- 3.1. Staff must exercise due diligence to ensure applications will not be completed for grant funding where the grant funding source is a risk to the City. This includes but is not limited to the grant funding source:
 - 3.1.1. whose activities are perceived to be incompatible with the City's goals, values or mission
 - 3.1.2. that is not in good standing with the City, including:
 - 3.1.2.1. Being the current subject of legal proceedings by the City of Vaughan

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- 3.1.2.2. Being convicted by a court of such a matter set out in (3.1.2.1) where the contravention remains
 - 3.1.2.3. Being a named party in litigation, judicial or arbitral proceedings against or by the City with respect to any procurement, contract or business transaction
 - 3.1.3. that promotes, endorses, or any other way supports:
 - 3.1.3.1. Tobacco
 - 3.1.3.2. Pornography
 - 3.1.3.3. The support of, or involvement in the production, distribution, and sale of weapons and other life-threatening products
 - 3.1.3.4. Terrorism
 - 3.1.3.5. Religion
 - 3.1.3.6. Any activity which, if associated with the City, may constitute a reputational risk for the City as determined by City staff
 - 3.1.4. The grant funding must not confer a personal benefit, directly or indirectly, to any particular City employee or official.
 - 3.1.5. There shall be no actual or implied obligation to purchase the product or services of the grant funding source outside any obligations set out in the grant agreement.
 - 3.1.6. The grant must not negatively interfere with existing contractual obligations.
- Inquiries regarding this policy should be directed to the Municipal Partnerships Office within the Corporate Initiatives & Intergovernmental Relations department.

ADMINISTRATION

Administered by the Office of the City Clerk.

Review Schedule:	5 Years <small>If other, specify here</small>	Next Review Date:	June 6, 2023
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Related Policy(ies):	
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Procedural Document:	PRC.## - Grant Funding
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Revision History

Date:	Description:
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Click or tap to enter a date.	
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THE CITY OF VAUGHAN

BY-LAW

BY-LAW NUMBER XX - 2018

A By-Law to amend City of Vaughan By-Law Number 78-2010, as amended, with respect to executing grant applications and agreements.

The Council of the Corporation of the City of Vaughan ENACTS AS FOLLOWS:

1. THAT City of Vaughan By-Law Number 78-2010 be amended by deleting Sections 1 and 2 and replacing them with the following:
 1. THAT the Chief Financial Officer & City Treasurer and City Clerk are authorized to execute the grant applications in compliance with the Grant Funding Procurement Policy & Procedures as amended from time to time. For clarity, the grant applications may be executed by either the Chief Financial Officer & City Treasurer or the City Clerk;
 2. THAT the Chief Financial Officer & City Treasurer and City Clerk are authorized to execute the standard grant agreements in a form satisfactory to the City Solicitor in compliance with the Grant Funding Policy & Procedures as amended from time to time. For clarity, the standard grant agreements may be executed by either the Chief Financial Officer & City Treasurer or the City Clerk.
2. This By-law comes into force and effect on the date enacted by Council.

Enacted by the City of Vaughan Council this Xth day of Month, 2018.

Hon. Maurizio Bevilacqua, Mayor

Todd Coles, Deputy City Clerk

Authorized by Item No. XX of Report No. XX
of the Committee of the Whole

Adopted by Vaughan City Council on
DATE