

STATEMENT of POLICY and PROCEDURE			
Chapter:	Corporate Services	SPP No.	SBPP 2
Section:	Strategic Business Planning and Performance	Issued:	NOV 20, 2018
Subject:	Funding and Grant Policy and Procedure	Effective:	JAN 1, 2019
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1 POLICY

- 1.02 Any TRCA initiatives for which staff intend to pursue grant funding must follow this Statement of Policy and Procedure.
- 1.03 The Funding and Grants Coordinator (FGC) through the Strategic Business Planning and Performance business unit and Account Leads must adhere to the timelines outlined in this Statement of Policy and Procedure. In the event of timing conflicts between this policy and funding timelines, grant application timelines shall take precedence.
- 1.04 Approval for projects involving disbursement of funding to a Qualified Donee must be approved by the Chief Financial and Operating Officer (CFOO) and Chief Executive Officer (CEO), in accordance with the terms of the funding as well as the Income Tax Act.
- 1.05 The FGC shall be TRCA's lead representative on all communications with funders. Where necessary, the FGC shall include members of the writing team on communications.
- 1.06 Funding cut-off is determined via the Grant Submission Costing Tool. The FGC will use the tool to estimate internal expenses for specific grants to ensure that potential funding amounts will be at least 50% greater than the cost of internal resources required as part of the grant administration. The cost ratio of the internal costs and the potential funding opportunity will be included in the Statement of Interest (SOI) and used to determine the viability of the funding opportunity. Based on a general average, the minimum amount that will be considered for a funding request will be \$30,000 (unless otherwise approved by the CFOO or CEO, at the request of the Division lead or SLT representative).

SOI submissions that fall below the \$30,000 threshold will require staff to also submit a rationale detailing the estimated staff resources required to submit the grant, in addition to previous experience in receiving funding for the grant (if applicable).

2 PURPOSE

- 2.01 The purpose of this policy is to more effectively position internal resources (e.g. staff time, program design and review, etc.) towards grant funding. Moreover, the procedures outlined in this policy document will also ensure that all TRCA programs/projects are positioned to maximize success in achieving TRCA's Strategic Plan and that resources and funds are used in an effective and sustainable manner.

3 SCOPE

- 3.01 The Funding and Grant Policies and Procedures document applies to all TRCA lead grant and funding applications. In addition to this Statement of Policy and Procedure, all TRCA projects/programs shall operate within the context of all other TRCA policies, procedures and best management practices.

4 RESPONSIBILITY

4.01 Chief Executive Officer (CEO)

- Shall have sole discretion to approve grants when grants are not internally competitive.
- Shall have varying levels of authority on various project/programs depending on scope, visibility, risk and desired outcomes.
- Shall ensure that all projects/programs reflect and support TRCA's Strategic Plan.

Chief Financial and Operating Officer (CFOO)

- Shall have discretion to approve or decline SOIs, when grants are not internally competitive.
- Shall confer with CEO and Senior Leadership Team, if necessary, regarding SOIs concerning alignment with TRCA Strategic Plan, and internal resource allocation.

Senior Leadership Team (SLT)

- Shall be apprised of all funding and grant submissions.
- Shall review and prioritize all internally competitive grant SOIs with the purpose of selecting the application which meets all applicable criteria.

Senior Directors/Directors

- Shall communicate this policy to all relevant staff in their division and create internal processes to ensure the correct implementation of this policy across all related business units.
- Shall review and approve divisional SOIs (prior to SLT), and all content inputs throughout the grant submission and reporting phases.
- Shall consider the costs for staff and other internal resources in determining whether to pursue external funding.
- Shall ensure all projects/programs reflect and support TRCA's Strategic Plan.
- Shall create internal processes to ensure the correct implementation of this policy across all related business units.

Funding and Grants Coordinator (FGC)

- Shall provide support and guidance to staff.
- Shall assess all SOIs according to the following, in order to make an impartial recommendation to the CFOO/CEO: Overall alignment with individual funding objectives, financial thresholds related to staff time, and capacity for submission/implementation.
- In the event that grant application timelines do not allow for the timelines outlined in this policy document, the FGC will work with respective writing teams on an alternative timeline.
- Shall make recommendations to CEO and CFOO, as to the final result of an internally competitive SOI review process for SLT.
- Shall be the lead TRCA contact on all communications between the funder and TRCA. The FGC will notify and include the writing team on communications

with the funder on an as needed basis. Practical inquiries regarding the day-to-day implementation of programs and services or inquiries requiring technical input, will be handled by the writing team (the FGC will be included in correspondence of this manner).

- Shall maintain up to date TRCA information as required.
- Shall undertake a costing analysis using the costing tool for each funding opportunity to be included in the SOI submission.
- Shall review funding opportunities, and communicate these to SLT and Management Team, via regular emails and communication to the CEO and CFOO.
- Shall lead corporate submissions for wage subsidy funding as required.
- Shall ensure all timelines and requirements of this statement of policy and procedure are followed.

Account Lead/Writing Team

- Shall be responsible for the majority of content development throughout the grant identification, application, and reporting process.
- Shall ensure all timelines and requirements of this statement of policy and procedure are followed.
- Shall keep divisional Directors apprised of plans to submit SOIs, in addition to receiving approval from senior staff regarding moving forward to submit SOIs.

Toronto and Region Conservation Foundation

- Shall be responsible for all fundraising initiatives.
- Shall be kept apprised of all sponsorship opportunities and initiatives across TRCA.
- Shall keep the FGC apprised of grant opportunities being pursued.

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5.01

DEFINITIONS

Business Development Statement of Interest – A document that presents a roadmap for future financial planning, and expansion of new or existing programs.

Funding – Any external funding being pursued or received by TRCA from grants

Funding and Grants Statement of Interest – A document that is submitted via the online Grant Centre, and provides the FGC with an outline of a program or project that will be used to apply for external funding.

Grant – Funds awarded to TRCA with the understanding that a specific set of activities and deliverables will be realized within the specifications of an agreement.

Grant Briefing – A document prepared by the FGC that summarizes SOIs that were submitted during a specific time period, and presented to the Senior Leadership Team (SLT) for review. Grant Briefings are the tool through which grant concepts are screened, matched with strategic objectives, and reviewed.

Grant Centre – An intranet available to staff through TRCA's Staff Hub. Through the Grant Centre, staff can submit SOIs, locate useful resources that will help them apply to grants, and a list of upcoming grant opportunities.

Grant Centre Guidelines – This document provides a procedural outline for the grants submission process, in addition to expectations and staff responsibilities.

Grant Submission Costing Tool – This resource provides a reference table calculated using the hourly wage rates for the current year, arranged according to pay range (inclusive of benefits). High and low estimates of staff time necessary for each stage of the grant development and submission process are also included.

In addition, this resource also includes a costing tool, which will calculate estimated expenses according to each staff group involved (i.e. "writing Team", "FGC", etc.), in addition to total cost of the grants submission process.

Qualified donee - An organization that can issue official donation receipts for funds they receive from individuals or corporations under the Income Tax Act. Qualified donees include, but are not limited to, the following: registered charities and non-profits, registered Canadian municipalities and municipal public bodies performing governmental functions within Canada, etc.

6 REFERENCES and RELATED STATEMENTS of POLICY and PROCEDURE

- 6.01 The Statement of Policy and Procedure outlined in this document are pursuant to the Strategic Business Planning Policy 1.0, and are only to be considered *following* the completion of the necessary steps outlined in that policy document.

7 PROCEDURE

7.01 Grants Identification and Application Procedure

1. Staff shall ensure compliance to Strategic Business Planning Policy 1.0 prior to initiation of funding and grant policy.
2. Staff shall use available internal resources (e.g. Grant Center, upcoming grant opportunity notifications, etc.) and external resources (e.g. Internet searches, preexisting contacts with funders, mailing lists, etc.) to identify appropriate sources of funding.
3. If staff are unable to identify suitable sources of funding they will contact the FGC. Using available resources, the FGC will aid staff in identifying applicable grants. This procedure is complimentary to all other current grant identification practices of staff.
4. Once an appropriate source of funding has been identified, staff will review and compare the granting guidelines against internal capacity to meet granting eligibility criteria.
5. All writing teams must receive approval from Divisional Directors prior to submission of SOIs to FGC.
6. FGC will review and screen grant requirements and opportunities using the Grant Submission Costing Tool.
7. Following this review, the writing team will then draft an SOI and submit for review to the FGC, through the Grants Center. SOIs must be submitted six weeks prior to the application deadline. The SBPP business unit will review and determine the alignment of the project/program as it relates to the applicable grant requirements. The CEO/CFOO shall review and determine the financial risks and thresholds of pursuing the funding opportunity.

8. In the event that more than one SOI has been submitted for a grant, the FGC will confirm with the funder as to the number of submissions accepted from a single organization. If the grant submission process must be internally competitive (e.g. a funder will only accept one application), the FGC will notify the applicable writing team. SLT, in partnership with the CEO and CFOO will prioritize the submissions based on the alignment of the approval criteria.
9. Following the review of SOIs, the FGC will communicate decisions to the respective writing teams.
10. If an SOI is rejected, the FGC will provide constructive feedback to writing teams. Writing teams may also schedule a meeting with the CEO, CFOO, FGC and the divisional Director in order to facilitate clarification and feedback.
11. Following the previous month's submission process, the FGC will prepare and circulate a grant briefing to SLT that outlines both pending and successful grant applications.
12. Upon confirmation that their SOI has been approved, the writing team will develop all application content, supporting documents (e.g. letters of support, reports, etc.), and will provide the FGC with review drafts four weeks prior to the submission deadline.
13. The FGC will perform a copy-edit on the content draft, and will work with the writing team to prepare the document for final submission two to three weeks prior to the submission deadline.
14. In the event of delays related to securing supporting documents or application content, the writing team shall notify the FGC.
15. Upon completion of a final draft, the FGC will submit the application package for final review and signature (if applicable) one week prior to the submission deadline.
16. Following final review and signature, the FGC will submit the application package to the funder.

7.02 **Grant Reporting and Administration Procedures**

1. The FGC will communicate the status of funding requests, in addition to any requests for feedback or clarification, to respective writing teams. Upon receipt of a successful application notification, the FGC will ensure all funding agreements are completed and signed through the Procurement Database.
2. If any changes need to be made to the grant contribution agreement, the FGC will contact the necessary TRCA staff, in addition to staff from the funding organization, in order to facilitate changes in a timely manner.
3. Upon the execution of the grant contribution agreement, the staff responsible for project implementation shall ensure that all responsibilities, deliverables, and timelines outlined in the agreement are met. The FGC will maintain a lead role in communications between TRCA and the funder (where appropriate), throughout the implementation of the project.

4. If project implementation staff encounter any difficulties in meeting the expectations and requirements of the grant contribution agreement (e.g. underspending, not meeting key milestones within allotted time, etc.), they must inform the FGC as soon as this is known. The FGC will then facilitate conversation between project staff and the funder, in order to maintain transparency and arrange for alternate action to be taken.
5. Project implementation staff will ensure that interim and final reporting documents are submitted to the FGC four weeks prior to the report submission deadline.
6. If project implementation staff encounter difficulty submitting interim or final reports according to internal and external deadlines, they must inform the FGC once this is known so that the FGC can facilitate a revised timeline for approvals.
7. Upon receipt of interim and final reports, the FGC will review, secure signatures (where applicable), and submit all necessary documents to the funder.