

GRANTEE ORIENTATION

LOCAL POVERTY REDUCTION FUND (LPRF) – FALL 2017



LEARNING OBJECTIVES



Understand your Grant Contract

Understand the terms and conditions of your grant

Understand the expectations of Local Poverty Reduction Fund (LPRF) grantees

Understand the Ontario Trillium Foundation's (OTF's) grant rescind process

Understand next steps

1. The Grant Contract
2. Acknowledging Support
3. Grant Management
4. Reporting
5. Rescinding a Grant
6. Next Steps
7. Resources
8. LPRF Support Team
9. Questions



1. The Grant Contract

- ✓ Terms and Conditions
- ✓ Declaration of Understanding
- ✓ Schedule A
- ✓ E-Signature
- ✓ E-Banking

2. Acknowledging Support

- ✓ Grant recognition requirements
- ✓ Release of findings requirements
- ✓ Event notification requirements

3. Grant Management

- ✓ Budget allocation
- ✓ Administrative costs
- ✓ Timeline

4. Reporting

- Overview
- Engagement
- Reporting requirements
- Payment and report schedule
- Single year grants
- Multi year grants
- Quality assurance

5. Rescinding a Grant

6. Next Steps

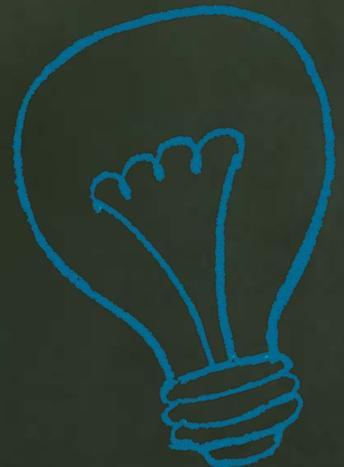
7. Resources

8. LPRF Support Team

9. Questions

THE GRANT CONTRACT

- ✓ Terms and Conditions
- ✓ Declaration of Understanding
- ✓ Schedule A
- ✓ E-Signature
- ✓ E-Banking



The Grant Contract is a legally binding contract between your organization and the Ontario Trillium Foundation

- ✓ OTF issues a Grant Contract to successful grantees shortly after approval by the Poverty Reduction Strategy Office (PRSO)
- ✓ The Grant Contract documentation refers to the contract itself (terms and conditions), the Declaration of Understanding and Schedule A, which contains payment and reporting schedules, in a single document
- ✓ By now your organization has received a generic copy of the Grant Contract
- ✓ Once your organization has received its version of the Grant Contract, you are expected to review and return the signed agreement to OTF **no later than 60 days from date of issue**

The Grant Contract is a legally binding contract between you and the Foundation that must be returned within 60 days

It includes:

- ✓ The **OTF Terms and Conditions** associated with your grant
- ✓ A **Declaration of Understanding** that confirms you have read the relevant policies and requirements stipulated
- ✓ **Schedule A**, containing details of your grant, including the budget approved by PRSO, the payment schedule, reporting requirements, and the name of the OTF staff person monitoring your grant
- ✓ The **Authorizing Signatures page**, which must be signed by the person authorized to legally bind on behalf of your organization

TERMS AND CONDITIONS



The Grant Contract includes many important terms and conditions and also lays out several requirements for grantees, including:

- ✓ Publicly recognizing the grant
- ✓ Measuring and reporting on progress
- ✓ Purchasing insurance
- ✓ Keeping reports, accounting records, and other grant-related documentation for at least six years after the grant is over
- ✓ Being prepared to comply with random audits by OTF, its Ministry or the Auditor General of Ontario

It is important that you closely read and understand the **Terms and Conditions**, because when you sign the Grant Contract, you are formally agreeing to comply.

OTF may also end the grant if any of the provisions of the Grant Contract are violated.

LPRF grantees are strongly encouraged to pay particular attention to:

- ✓ **Clause 9- Evaluation and Audit** which outlines the timeline and notification procedure pertaining to the use, release and communication of project evaluation findings
- ✓ **Clause 13- Termination** that stipulates conditions and procedure for termination of a grant
- ✓ **Clause 16- Modification and Waiver** that sets the terms for modification on the grant contract which would include changes to the timelines and approved budgets

TERMS AND CONDITIONS



Certain terms and conditions apply to every OTF grant, including:

- ✓ Use of Grant Funds
- ✓ Maintaining Eligibility Status
- ✓ Payment of Grant Funds
- ✓ Mandatory Orientation Session
- ✓ Grant Activities and Milestones
- ✓ Reporting and Grant Monitoring
- ✓ Records
- ✓ Advocacy
- ✓ Recognition of funding
- ✓ Evaluation and Audit
- ✓ Applicable Laws
- ✓ Insurance
- ✓ Indemnity
- ✓ Termination
- ✓ Acquisition of Goods & Services; Distribution of Assets
- ✓ Entire Agreement
- ✓ Modification and Waiver
- ✓ Acknowledgement
- ✓ Capital Grants (for grants with capital component only)
- ✓ No partnership or Joint Venture
- ✓ Non-Assignability
- ✓ Reliance by Foundation
- ✓ Severability of Provisions

DECLARATION OF UNDERSTANDING



This is where the person with legal authority to bind the organization ensures that:

- ✓ The orientation webinar has been attended
- ✓ Various roles and responsibilities are understood
- ✓ The right people have read and understand the Grant Contract
- ✓ Accurate banking information has been provided on the OTF grant portal
- ✓ OTF's Reallocation of Grant Funds Policy is understood
- ✓ OTF's requirements for both the timing and the tools used for reporting and evaluating the grant are understood

Schedule A contains all the details of your approved grant:

- ✓ The approved grant amount and term
- ✓ The name of the Program Manager monitoring your grant
- ✓ The approved grant budget
- ✓ The payment and reporting schedule
- ✓ Conditions pertaining to your grant



Your organization's signing authority (usually Board Chair) must sign the Grant Contract documentation electronically, following these steps:

- ✓ Click on **Review Document** (halfway through e-mail in centre)
- ✓ Check **I have read and agreed to the terms of service**
- ✓ Click **OK**
- ✓ Either hit **Next** or scroll down to **page 10**
- ✓ Click the yellow box that says **Signature**
- ✓ A box comes up where you can either use your mouse to draw your signature, type it or upload an electronic signature
- ✓ Click **Apply > Save > Submit**

Remember: lprf@otf.ca is there to help!

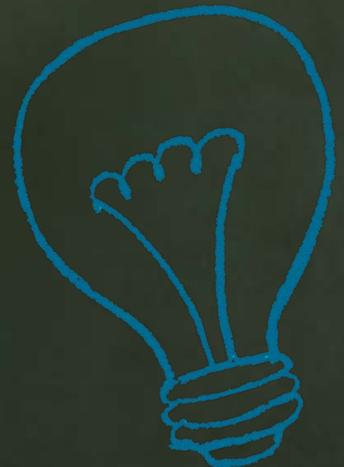
Step 1 : Enter your organization's banking information in the OTF portal

Step 2 : Associate that bank information specifically to your LPRF grant

Need help? Refer to the 'Help' tab in the online portal for step-by-step instructions!

ACKNOWLEDGING SUPPORT

- ✓ Grant recognition requirements
- ✓ Release of findings requirements
- ✓ Event notification requirements



Requiring grantees to recognize their LPRF grants publicly is one way the government maintains the highest standards of accountability and transparency

Grantees are asked to share the good news widely by:

- ✓ Acknowledging funding support of the project from the Government of Ontario and administrative support from OTF in all promotional materials directly related to your grant, website and in media commentary related to the project
- ✓ Holding at least one recognition event
- ✓ Talking about the grant and your project on social media

RECOGNITION REQUIREMENTS



Recognition is also an opportunity to celebrate your achievements and showcase the important work you will be doing with your LPRF grant, whether it's:

- ✓ Announcing your LPRF grant
- ✓ Launching a program
- ✓ Releasing your initiative's findings

Before issuing invitations to your LPRF event, please contact your Program Manager

Recognition requirements:

- ✓ Provide your Program Manager with a minimum of four weeks' advance notice
- ✓ Draft media releases must be submitted to OTF two weeks' prior to your LPRF event
- ✓ The more notice provided, the better!
- ✓ Track all recognition activities and media coverage – you will be required to include this information in your reporting

Need Support?

- ✓ Contact your OTF Program Manager. They can provide advice and forward you to an OTF Public Relations Associate
- ✓ Your OTF Public Relations Associate will help you prepare your media advisory, media release and agenda
- ✓ Read the [LPRF Logo and Visual Identity Guide](#) on how to recognize the Government of Ontario and OTF

Please remember that under Clause 9 of the contract any public sharing of any of your evaluation findings, at any point during your grant, requires prior approval

- ✓ A minimum of 4 weeks' notice is required to allow OTF to obtain the necessary approval from the Government of Ontario.
- ✓ As with recognition events, the more notice provided the better!
- ✓ Track all events, media and activities related to the release of evaluation findings– you will be required to include this information in your reporting.

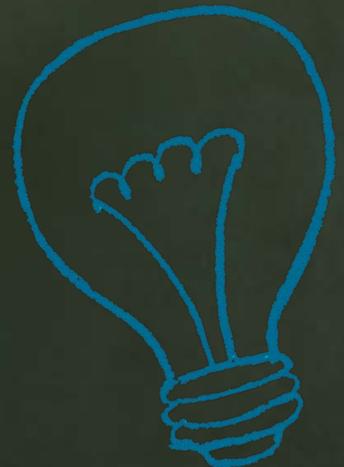
Please notify your OTF Program Manager about your intention to either publicly recognize your grant and/or your intention to share findings, copying lpf@otf.ca. Please provide the following:

- ✓ Grantee name
- ✓ Grantee ID
- ✓ Requestor name (title and contact information)
- ✓ Event date, time and location
- ✓ Event detailed description (incl. type of event: recognition or release of findings)

Grant recognition events, including release of findings, require a minimum of 4 weeks' notice.

GRANT MANAGEMENT

- ✓ Budget allocation
- ✓ Administrative costs
- ✓ Timeline



The grant budget reflects the total amount approved by the Government of Ontario

- ✓ There are two budget categories – **Direct Personnel and Direct Non-Personnel**. Amounts showing are approved amounts for each category
- ✓ Grantees *can* reallocate monies within a specific category as long as the reallocation supports achievement of project deliverables. **Reallocation between categories does require prior written approval by OTF**
- ✓ Grantees must abide by OTF's reallocation policy which requires **written approval** of revisions between categories
- ✓ Any changes to the evaluation budget or plan requires **prior** written approval

ADMINISTRATIVE COSTS



LPRF guidelines clearly indicate that administrative costs must be new, time-limited incremental costs directly linked to the implementation of the grant

Examples of admissible administrative costs include:

- ✓ additional office space
- ✓ additional insurance
- ✓ direct use of IT or other technology
- ✓ direct involvement of management staff in project implementation or evaluation activities
- ✓ project costs associated with financial accounting and reporting

Because of restrictions around admissible administrative costs, any **increase in administrative or overhead expenses must be discussed with your Program Manager in order to ensure that they meet eligibility requirements under the LPRF grant. For instance:**

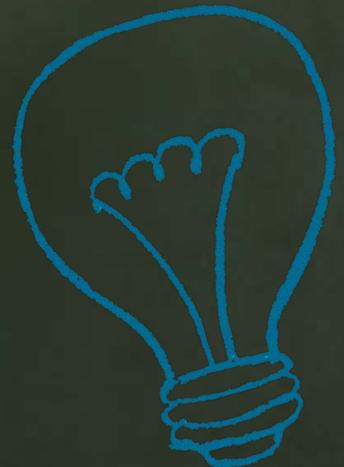
- ✓ Groups cannot claim a standard or fixed percentage of the budget to cover these administrative costs
- ✓ Any changes to administrative costs must be approved by OTF
- ✓ Grantees are required to document and have available for review and/or audit, the documentation directly linking the administration expense to the cost of implementing or evaluating the program

LPRF grants are time-limited. Therefore it is critical that grant timelines are followed in order to deliver timely results for the LPRF program

- ✓ Changes to project timelines require **prior written approval by OTF**
- ✓ If you have an issue with the timelines of your project, as described in the Grant Contract, please **contact your Program Manager immediately**
- ✓ The Program Manager monitoring your organization's grant can provide support, answer questions, and if necessary, consider changes to the approved timeline

REPORTING

- ✓ Engagement
- ✓ Reporting requirements
- ✓ Payment and report schedule
- ✓ Single year grants
- ✓ Multi year grants
- ✓ Quality assurance



Reporting your LPRF grant includes requirements around orientation, evaluation planning and updates, formal reporting and in-person touchpoints

Completing this orientation webinar before signing back your Grant Contract

Completing and submitting evaluation plans, reports, and final reports - on time!

Formally engaging with the Program Manager monitoring your grant at least 4 times a year

We are keen to hear from you at various stages of the grant. We require that you keep in touch by:

- ✓ Completing this **orientation webinar** before signing back your Grant Contract
- ✓ Completing and submitting **evaluation plans, reports, and final reports**
- ✓ Engaging with the Program Manager monitoring your grant a **minimum of 4 times annually**
- ✓ Contacting your Program Manager **if anything significant changes with your organization or initiative**
- ✓ **Attending grantee events** organized by OTF

REPORTING REQUIREMENTS



Schedule A clearly outlines reporting requirements for your grant. Special attention should be paid to LPRF Grant Conditions :

1. No later than 3 months prior to the issue of the second payment, the Grantee shall submit a Detailed Evaluation Plan, in a format defined by the Foundation.
2. The Grantee shall participate in a minimum of 4 engagements with an OTF Program Manager for each year of the grant.
3. The submission of each Progress Report, as specified in the Payment and Report Schedule, shall be accompanied by an Evaluation Update, in a format defined by the Foundation.
4. The submission of the Final Report, as specified in the Payment and Report Schedule, shall be accompanied by a Final Evaluation Report, in a format defined by the Foundation.
5. The Grantee shall notify the Foundation, so that the Foundation may obtain the approval of the Government of Ontario, at last 4 weeks prior to using, releasing or communicating individual project **evaluation findings**. The Grantee shall not use, release or communicate project evaluation findings without the approval of the Government of Ontario.
6. The Grantee shall notify the Foundation, so that the Foundation may obtain the approval of the Government, at last 4 weeks prior to publicly recognizing **funding** (as per LPRF Recognition Requirements). The Grantee shall not publicly recognize funding without the approval of the Government.
7. Additional Condition(s) –Not applicable.

PAYMENT AND REPORT SCHEDULE



The payment and report schedule tells you when your grant payments will be released, if there are any specific conditions that need to be met prior to the release of a payment, and when reports are due

- ✓ **All LPRF grantees are required to work with a 3rd party evaluator.** As specified in LPRF Grant Conditions, a satisfactory detailed evaluation plan prepared in partnership with the 3rd party evaluator is a requirement for the release of the second payment for all LPRF grants
- ✓ **Payments for multi-year grants are generally issued every six months** based on satisfactory progress in achieving activities and milestones
- ✓ Any payments not tied to a progress or evaluation update should be preceded by a check-in with your Program Manager

PAYMENT AND REPORT SCHEDULE



When grantees report on each year's progress, they are expected to have spent the funds that have been released during that period and that spending is aligned with the amounts in the categories as listed.

- ✓ **Changes to the project budget (i.e. if a grantee is underspent), evaluation or timeline**, as described in the Grant Contract, **can impact the timing and/or release of payment(s)**. OTF may review the schedule based on such changes. Please **inform your Program Manager immediately** of any changes.
- ✓ **All grants have a 10% holdback for final year.** The final payment is released following the receipt of a satisfactory final report

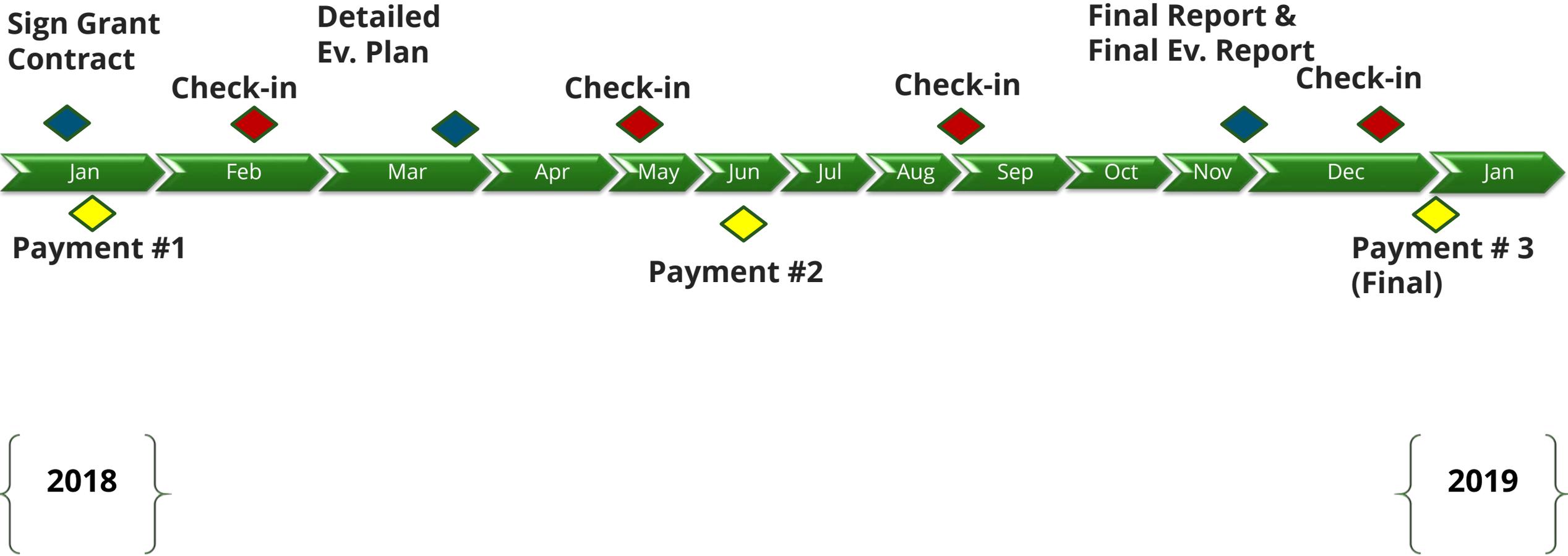
The next two slides provide examples of the timelines corresponding to single and multi-year grants. The corresponding legend is below.

LEGEND - SINGLE AND MULTI YEAR GRANTS (for subsequent slides)

-  Reporting Requirements
-  Check-ins/engagements with Program Manager (min. 4 required annually)
-  Payments

The timelines depicted are included as examples only; actual dates will be dependent on factors such as your project start date.

EXAMPLE – SINGLE YEAR GRANTS



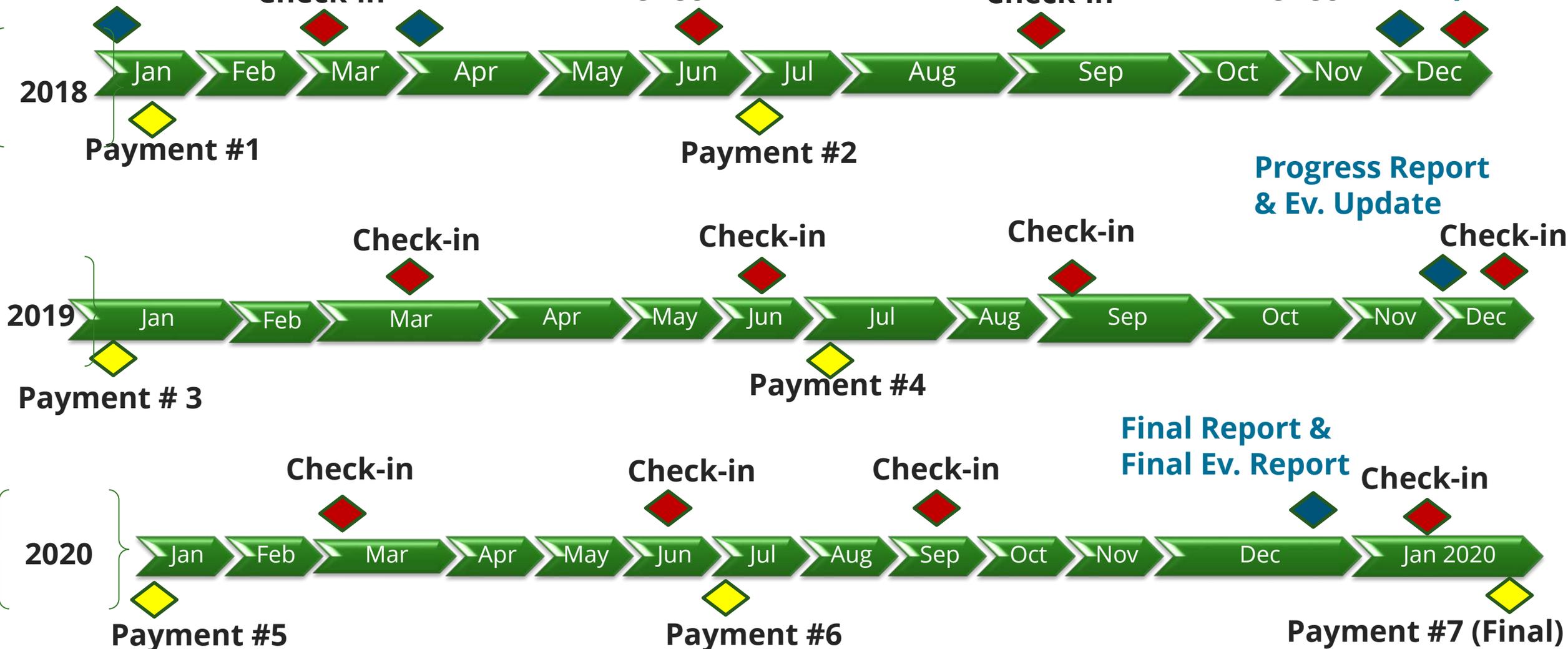
EXAMPLE – MULTI YEAR GRANTS



Sign Grant Contract

Detailed Ev. Plan

Progress Report & Ev. Update



To monitor and report on compliance, OTF audits a minimum of 10% of grants each year

A **compliance audit** may ask:

- ✓ Did the grantee achieve the activity/milestone as reported to OTF?
- ✓ Were the grant funds spent on items and services according to the approved grant budget (or as amended)?

OTF is accountable to the Government of Ontario for the funds it invested in the LPRF grants.

In turn, all our grantees are accountable to OTF for how they use the funds they receive from the LPRF and the results they achieve with those funds.

If your grant is selected for an audit, you will be asked to:

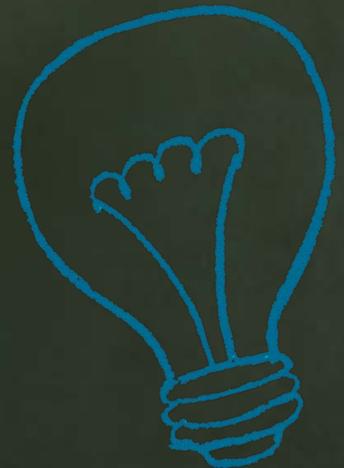
- ✓ Submit documentation to support the grant performance and financial information you reported in your progress or final report.
- ✓ Submit a declaration signed by your Board President or Treasurer or their Designate stating that the information you are providing is correct and complete.

As noted earlier, administration costs must be directly linked to project and or evaluation completion, with documentation to support those expenditures.

REMEMBER!

You are **required** to retain all receipts and expenditure records relevant to your grant for a period of **6 years**

RESCINDING A GRANT



RESCINDING A GRANT



When nothing can be done to keep a grant on track, it may be rescinded, either at the grantee's request, or ours

OTF will work with grantees to resolve any issues as they arise



Grantees themselves may request that a grant be rescinded



OTF may rescind a grant if:

- ✓ A grantee fails to observe, or uses grant funds for purposes that are contrary to OTF's policies, program guidelines or Grant Contract
- ✓ A grantee fails to show satisfactory progress in achieving the grant's activities/milestones
- ✓ The grant is not completed within the timelines specified in the Grant Contract
- ✓ Circumstances prevail that seriously jeopardize the successful completion of the grant or management of grant funds
- ✓ Grant funds have been misappropriated

NEXT STEPS

✓ Review, sign and return Grant Contract within 60 days

Update banking information after Grant Contract has been submitted

Finalize agreement with 3rd party evaluator and submit *Detailed Evaluation Plan* using template provided by OTF, within first 3 months of your project

Participate in public announcement events

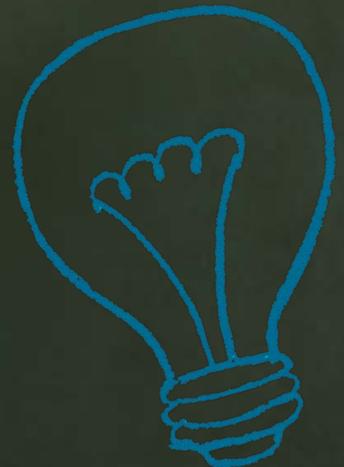
Your Program Manager is your number one resource!

- ✓ [OTF Policies](#)
- ✓ [OTF Payment Release for Grantees Policy](#)
- ✓ [OTF Reallocation of Grant Funds Policy](#)
- ✓ Evaluation Support for LPRF Applicants
(including Tips on Finding and Engaging an Evaluator)
- ✓ [OTF Grant Rescind and Recovery Policy](#)
- ✓ [LPRF Logo and Visual Identity Guide](#)

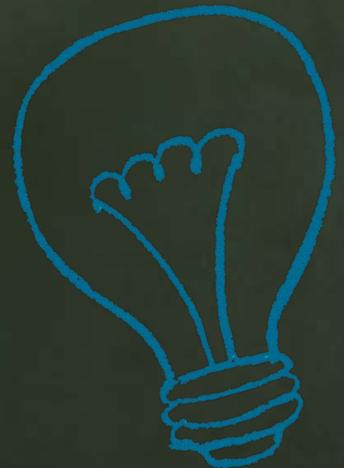
LPRF Support Team

1.800.263.2887

lprf@otf.ca



QUESTIONS?



Disclaimer: *The information provided in this presentation is relevant for 2017 LPRF Grant Recipients only. **OTF policies are subject to change.** If a link provided in this presentation is no longer available, please **contact your Program Manager** and/or lprf@otf.ca for the most updated information.*

