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GO-ITS Number 56.5

OPS Grants Management Reference Model

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1. Foreword

Government of Ontario Information Technology Standards (GO-ITS) are the official publications on the guidelines, preferred practices, standards and technical reports adopted by the Information Technology Standards Council (ITSC) under delegated authority of the Management Board of Cabinet (MBC). These publications support the responsibilities of the Ministry of Government Services (MGS) for coordinating standardization of Information & Information Technology (I&IT) in the Government of Ontario. Publications that set new or revised standards provide enterprise architecture guidance, policy guidance and administrative information for their implementation. In particular, GO-ITS describe where the application of a standard is mandatory and specify any qualifications governing the implementation of standards.

2. Introduction

2.1. Background and Purpose

The Office of the Corporate Chief Technology Officer (OCCTO) has recognized that although Grants Management (GM) functionality is a widespread business need in the OPS there was no common understanding of its meaning. In response, Architecture Review Board (ARB) has directed the establishment a common understanding of GM functionality by following the OPS Enterprise Architecture approach for defining programs and services. This culminated in a Grants Management Reference Model (GMRM).

This reference model provides an abstract representation of Grants Management in the context of government programs and services. It is intended for OPS ministries and agencies that are considering the adoption of a grants management approach to planning and managing their operations. It is also intended to help Business Planners, Policy Analysts, Business Analysts, Program Managers, Service Providers and Business Architects gain a common understanding of what GM is along with the generic business functions involved.

The OPS Grants Management Reference Model must be followed by all OPS I&IT projects considering the adoption of GM functionality within automated solutions.

2.2. Scope

2.2.1. In Scope

- Identification of common business functions of grants management that can be represented generically
- Selected business architecture artefacts to describe a generic grants management business model
- Types of business rules to consider for a grants management business model

2.2.2. Out of Scope

- Identification of business functions that support the delivery of a program using a grants management approach but are not specific to grants management
- Identification of business functions that are part of grants management in one sector but not in others
- An end-to-end business architecture for grants management including all artefacts
- Information/data model to support grants management. Information requirements will be business specific
- Business rule source instances or business rule statement instances (i.e. business specific)

2.3. Applicability Statements

2.3.1. Organization

Government of Ontario IT Standards and Enterprise Solutions and Services apply (are mandatory) for use by all ministries/clusters and to all former Schedule I and IV provincial government agencies under their present classification (Advisory, Regulatory, Adjudicative, Operational Service, Operational Enterprise, Trust or Crown Foundation) according to the current agency classification system.

Additionally, this applies to any other new or existing agencies designated by Management Board of Cabinet as being subject to such publications, i.e. the GO-ITS publications and enterprise solutions and services - and particularly applies to Advisory, Regulatory, and Adjudicative Agencies (see also procurement link, OPS paragraph). Further included is any agency which, under the terms of its Memorandum of Understanding with its responsible Minister, is required to satisfy the mandatory requirements set out in any of the Management Board of Cabinet Directives (cf. Operational Service, Operational Enterprise, Trust, or Crown Foundation Agencies).

As new GO-IT standards are approved, they are deemed mandatory on a go-forward basis (Go-forward basis means at the next available project development or procurement opportunity).

When implementing or adopting any Government of Ontario IT standards or IT standards updates, ministries and I&IT Cluster must follow their organization's pre-approved policies and practices for ensuring that adequate change control, change management and risk mitigation mechanisms are in place and employed.

For the purposes of this document, any reference to ministries or the Government includes applicable agencies.

2.4. Requirements Levels

Within this document, certain wording conventions are followed. There are precise requirements and obligations associated with the following terms:

Must	This word, or the terms "REQUIRED" or "SHALL", means that the statement is an absolute requirement.
Should	This word, or the adjective "RECOMMENDED", means that there may exist valid reasons in particular circumstances to ignore the recommendation, but the full implications (e.g., business functionality, security, cost) must be understood and carefully weighed before

2.5. Contact Information

2.5.1. Roles and Responsibilities

Accountable Role Definition

The individual ultimately accountable for the process of developing this standard. There must be exactly one accountable role identified. The accountable person also signs off as the initial approver of the proposed standard before it is submitted for formal approval to ITSC and ARB. (Note: in the OPS this role is at a CIO/Chief or other senior executive level).

Accountable Role:

Head, Corporate Architecture Branch (CAB), Office of the Corporate Chief Technology Officer (OCCTO), Ministry of Government Services (MGS)

Responsible Role Definition

The organization responsible for the development of this standard. There may be more than one responsible organization identified if it is a partnership/joint effort. (Note: the responsible organization provides the resource(s) to develop the standard).

Responsible Organizations:

The organizations responsible for the development of this standard are
- Corporate Architecture Branch, OCCTO, MGS

Support Role Definition

The support role is the resource(s) to whom the responsibility for actually completing the work and developing the standard has been assigned. If there is more than one support role, the first role identified should be that of the editor – the resource responsible for coordinating the overall effort.

Support Role (Editor):

Ministry/Cluster: Ministry of Government Services

Division: OCCTO

Branch: CAB

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Ministry/Cluster: Community Services Cluster

Division: Information Management and Planning

Branch: Planning and Architecture

Job Title: Enterprise Business Architect

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Consulted

Please indicate who was consulted as part of the development of this standard. Include individuals (by role and organization) and committees, councils and/or working groups.

(Note: consulted means those whose opinions are sought, generally characterized by two-way communications such as workshops):

Organization Consulted (Ministry/Cluster)	Division	Branch	Date
MGS	OCCTO	CAB	2009-06
MCI	Regional and Corporate Services Division	RSB/Regional Support Services Unit	2009
MOR	Operations - Client Accounts and Services	Benefits and Tax Related Programs	2009

Committee/Working Group Consulted	Date
Business Architecture Domain Working Group (BADWG)	2009
Community Services Cluster (CSC) – Cluster ACT	2009
Solutions Delivery Leadership Committee (SDLC)	2009-06-03
Health Services Cluster (HSC) – Cluster Reps.	2009
Architecture Core Team (ACT)	2009-05-14
Architecture Review Board (ARB)	2009-06-18

Informed

Please indicate who was informed during the development of this standard. Include individuals (by role and organization) and committees, councils and/or working groups.

(Note: informed means those who are kept up-to-date on progress, generally characterized by one-way communication such as presentations):

Organization Informed (Ministry/Cluster)	Division	Branch	Date

2.6. Recommended Versioning and/or Change Management

Changes (i.e. all revisions, updates, versioning) to the standard require authorization from the “responsible” organization.

Once a determination has been made by the responsible organization to proceed with changes, the Standards Section, Technology Adoption Branch, OCCTO, will coordinate and provide assistance with respect to the approvals process.

The approval process for changes to standards will be determined based on the degree and impact of the change. The degree and impact of changes fall into one of two categories:

Minor changes - requiring communication to stakeholders. No presentations required. No ITSC or ARB approvals required. Changes are noted in the “Document History” section of the standard;

Major changes - requiring a presentation to ITSC for approval and ARB for approval (Note: ARB reserves the right to delegate their approval to ITSC)

Below are guidelines for differentiating between minor and major changes:

Major:

- represents a major version change to one or more specifications
- impacts procurement
- requires configuration changes to current solutions
- impacts other standards
- responds to legislative, policy or procurement changes

Minor:

- represents incremental version changes to one or more specifications
- does not impact procurement (other than informational)
- does not require configuration changes to current solutions
- does not impact other standards
- is not related to legislative, policy, or procurement changes

2.7. Publication Details

All approved Government of Ontario IT Standards (GO-ITS) are published on the ITSC Intranet web site. Please indicate with a checkmark below if this standard is also to be published on the public, GO-ITS Internet Site.

Standard to be published on both the OPS Intranet and the GO-ITS Internet web site (available to the public, vendors etc.)	<input checked="" type="checkbox"/>
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3. Technical Standards and Specifications

3.1. Purpose of Grants management Reference Model (see Appendix A)

This standard provides a common understanding of what 'grants management' (GM) is and what common functions contribute to the development of a business model using a GM strategy. This reference model supports business improvement, architecture improvement and provides the foundation for I&IT solution decisions.

3.2. Focus

This reference model is intended to be a higher-level generic model from which more detailed modeling can be developed based on specific business needs. The functions described in this document are business driven, not technology driven.

Mandatory Sections of the Standard

What is covered?

- Formal definition and characteristics
- Party and Role Types
- Client and Service Provider Needs
- Business Goals
- Lifecycle of Grant
- Key Business Functions
- Grant Delivery Strategies to consider
- Types of business rules to consider

What is not covered?

- Identification of business functions that are part of GM in one sector but not in others
- Business rule source instances or business rule statement instances (i.e. business specific)
- Generic information / data requirements to support GM

4. Related Standards

4.1. Impacts to Existing Standards

Identify any Standards that reference or are referenced by this Standard and describe the impact.

GO-IT Standard	Impact	Recommended Action
None	None	N/A

GO-ITS 56.5 OPS Grants Management Reference Model

Business Architecture Domain Working Group (BADWG)

September 15, 2009
Approved V2.2

Appendix A



Preface

The Ontario Public Service (OPS) has developed an enterprise architecture program to:

- Enable the transformation of the programs and services of the Ontario Government,
- Increase its return on investment in information and information technology.

Business architecture is an integral part of enterprise architecture and is intended to ensure the alignment of I&IT with business needs. Providing grants is a widespread business activity in the OPS, therefore it is imperative that grants management is clearly understood across all lines of business and I&IT.

Objectives

This reference model provides an abstract representation of Grants Management in the context of government programs and services. It is intended for OPS ministries and agencies that are considering the delivery of grants in planning and managing their operations.

The document is intended to help readers to:

- Gain a common understanding of what grants are and the generic business functions involved when providing grants;
- Adopt appropriate strategies for implementing a Grants Management Service.

Consultation Process

This document was created by the Business Architecture Domain Working Group (BADWG) under the direction of the Corporate Architecture Core Team (ACT). The membership of both BADWG and ACT is comprised of subject matter experts from all OPS I&IT Clusters and OCCIO offices. BADWG validated the document through their respective client ministries.

Reference Documents

	Document Name	Version	Date	Author / Source
1	Transfer Payment Accountability Directive	1.0	Aug. 31, 2007	
2	Transfer Payment Accountability Best Practices Guide	1.0	Nov., 2007	



September 15, 2009

	Document Name	Version	Date	Author / Source
3	GO-ITS 56.2 Case Management Reference Model Version 1.02 - Appendix A	1.02	Jul., 2008	Prepared for the Information Technology Standards Council (ITSC) under the delegated authority of the Management Board of Cabinet
4	Applying Tools To Support The Full Life Cycle of Grants Management	1.0	Jan. 27, 2009	ePerformance
5	Grants Management Target Architecture Profile (US Department of Housing and Urban Development)	2.1	Feb. 24, 2006	Thomas & Herbert EA Practice Team



Readers

The reference model is intended for the following readers.

Reader	Use of the Document
Business Planners, Policy Analysts, Business Analysts	<ul style="list-style-type: none">• Provide support for business transformation or program review of government programs and services involving Grants Management
Program Managers	<ul style="list-style-type: none">• Support Grants Management business model identification and design
Service Owners	<ul style="list-style-type: none">• Support improvement of service performance• Support design of more cost effective service delivery processes
Change Initiative Project Managers & Business Architects	<ul style="list-style-type: none">• Ensure that business transformation initiatives define Grants Management business models consistently across the OPS to support service transformation and integrated service delivery• Ensure that Grants Management business models are well formed to support alignment of information systems with Grants Management requirements



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1 Introduction

Grants Management is a business function used in the delivery of many Ministry programs. The number of Grants Management tools/solutions in the OPS is large and increasing rapidly. Grants Management must be well understood if business needs and I&IT solutions are to be aligned.

1.1 Problem Description

In the OPS, many Ministries offer grants to their clients. Grants are a type of transfer payment to organizations or individuals designed to meet a client need and achieve a program goal. Grants may be offered for a multitude of purposes including energy savings, job creation, arts and culture, sports and recreation, and human and social services to name a few.

Moving to common set of Grants Management functions is a complex business transformation that can be supported by automated tools. Acquiring and implementing automated tools can be an expensive proposition requiring transformation initiatives to go through the OPS Gateway process, including architecture review and governance.

This reference model is intended to define a generic guideline for a uniform Grants Management business architecture. The desired outcome is to ensure that an automated tool is selected from an enterprise perspective and is configured to meet Grants Management business needs.

2 Definition and Characteristics of Grant Management

This section provides an OPS definition of Grants Management, Transfer Payments, Grants and Reference Model. Many definitions were examined through an environmental scan and the following definitions were adapted from existing definitions.

Term	Definition
Grants Management	A collaborative process for the provision of program information, referral and advice, intake and filtering of applications, review, award, and post-award monitoring, with regards to a grant. These activities rely on information sharing and require timely reporting to both internal and external stakeholders ¹ .
Transfer Payment	Transfers of money from a government to an individual, an organization or another government for which the government making the transfer does not: <ul style="list-style-type: none"> • receive any goods or services directly in return; • expect to be repaid in the future; or • expect a financial return².
Grant	Grants are a type of transfer payments where the government has discretion in deciding whether or not to make the transfer, any conditions to be complied with, how much will be transferred and to whom. Note that grants may be “conditional” where the recipient of a grant is required to meet certain conditions or use the money received for a specified purpose. If the recipients do not meet some or all of the conditions they may be required to return some or all of the money ² .
Reference Model	An abstract representation of a problem space, which forms the conceptual basis for the development of more concrete models of the space, and ultimately implementations ³ .

Table 1 - Definitions

A Grants Management business model has a number of key characteristics. These include:

- A legislated program with the mandate to transfer funds to achieve a specific program goal (defined as Grantor).
- A defined target group that needs financial support to enable a desired behaviour, action, or outcome.
- Defined expectations that include objectives, functions, eligibility criteria and recipient obligations.

¹ This definition is Enterprise Grants Management Transformation Framework

² This definition is adapted from the Canadian Institute of Chartered Accountants PSAB Standard 3410 (1995) on “Government Transfers”.

³ Source: Wikipedia (www.wikipedia.org)



- A predefined set of rules and parameters that define how funding will be delivered or disbursed.
- An oversight body that will monitor performance and the issuance of funds.

A business initiative that has these characteristics qualifies as Grant Management.

3 Business Architecture Artifacts

This section contains selected Business Architecture artifacts that describe a generic Grant Management business model. Descriptions of these artifacts can be found in the Corporate EA Review Requirements Guidebook on the OCCTO intranet site. These generic artifacts are intended to be used as a reference when developing artifacts for a specific business model.

3.1 Party and Role Types

Grant management program delivery involves a wide range of roles played by organizations and individuals. The table below identifies the key roles and parties of interest to the program.

Role	Description	Cross-Reference
		Party or Parties playing the role
Program Manager	This role is accountable for a grants program that delivers one or more of the services required to meet the needs of a client.	Accountable organization
Public Service Provider	This role delivers (public) service outputs to a client.	Service delivery organization
External Program Partner	This role is external to the enterprise and works collaboratively with transfer payment program(s) to provide program support – e.g., Information, share funding of transfer payment program, enforcement, and/or review.	Organization
Support Service Provider	This role delivers the back office functions required to support the program in achieving its goals.	Support service delivery organization
Grant Performance Manager	This role provides strategic direction on the analysis and reporting of program performance and overall achievement of outcomes.	Accountable organization
Grant Coordinator	This role is responsible for coordinating / administering the delivery of services to meet a client's needs through the grant lifecycle.	Service delivery organization
Grantor	The legal public or private entity that is accountable for awarding a grant.	Sponsor organization



Role	Description	Cross-Reference
		Party or Parties playing the role
Client	An individual or organization located in Ontario that makes a request for and / or is approved to receive a grant.	Individual / Organization

Table 2 - Party and Role Types

3.2 Need Types

Table 3 lists the type of needs to be satisfied by a program that offers grants directly to clients and indirectly through service providers. A need is a condition or situation in which something is required, desirable or useful for a given target group.

Need Type	Description
Client Needs	
Financial Support	To receive money that will support the activities of a person or organization, undertaken to achieve stated objectives, which in turn contribute to the transfer payment programs overall provincial or community goals. The funds may represent contributions to the entity's ongoing operational costs or one-time/multi-period project costs.
Advice and Information	Advisory services to a specific client project or ongoing operations to help guide progress and improve their ability to achieve stated objectives and / or to representatives of a specific community or industry to provide input to broad planning and development activities intended to enhance the social, cultural, economic, or public health in Ontario. Information and referral services to link clients to other pertinent resources. To have transparent access to information on available grant services; rights and responsibility pertaining to grants; and of events, conditions, decisions, etc. that may materially affect their grant award.
Service Provider Needs	
Simplicity for client	Minimal paperwork, complexity, and repeated provision of the same information when dealing with transfer payment program(s).
Accessibility	Transfer payment program services are accessible to all Ontarians with no barriers due to disability, language, culture, etc. and clarity on criteria to access.
Fairness	Equitable service in transfer payment management, in particular, requests for service resulting in consistent responses and results.

Need Type	Description
Compliance	Demonstrated compliance of program management and service partners with prescribed policies, practices, and standards, as negotiated and defined as obligations in agreements making sure personal client information is securely kept and used only for the purpose intended. Demonstrated accountability that assigned responsibilities for grant programs are carried out. Including specific actions and intended outcomes are met. Clearly stated rules that will be applied to access grant program services and to publicly announce recipients.
Responsiveness / Flexibility	Ability to quickly and effectively implement new policy and transfer payment programs in response to program needs and priorities.
Administrative Simplicity	Easier to manage and deliver enterprise transfer payment management program with less paperwork and appropriate number and levels of approvals.
Efficiency	To improve the ability of a program to operate in an efficient manner, (operational efficiency).

Table 3 - Need Types

3.3 Goals

Enterprise goals are based, in large part, on meeting the needs of the program's target groups. As noted above, the Grant Management business model has two primary target groups: the client and the service provider.

Goal	Outcome	Impact
Enable desired behaviours, actions, and/or outcomes	<ul style="list-style-type: none"> ▪ Increased % of community projects that are able to find funding or other support ▪ Increased % in opportunities for target groups ▪ Increase in success of client initiatives or activities 	<ul style="list-style-type: none"> ▪ Increase in participation of initiatives

Table 4 - Goals

3.4 Lifecycle of a Grant

The generic lifecycle of a grant is depicted in the following State – Transition Diagram (Figure 1). The transition from one state to another is associated with a business function that achieves the transition.

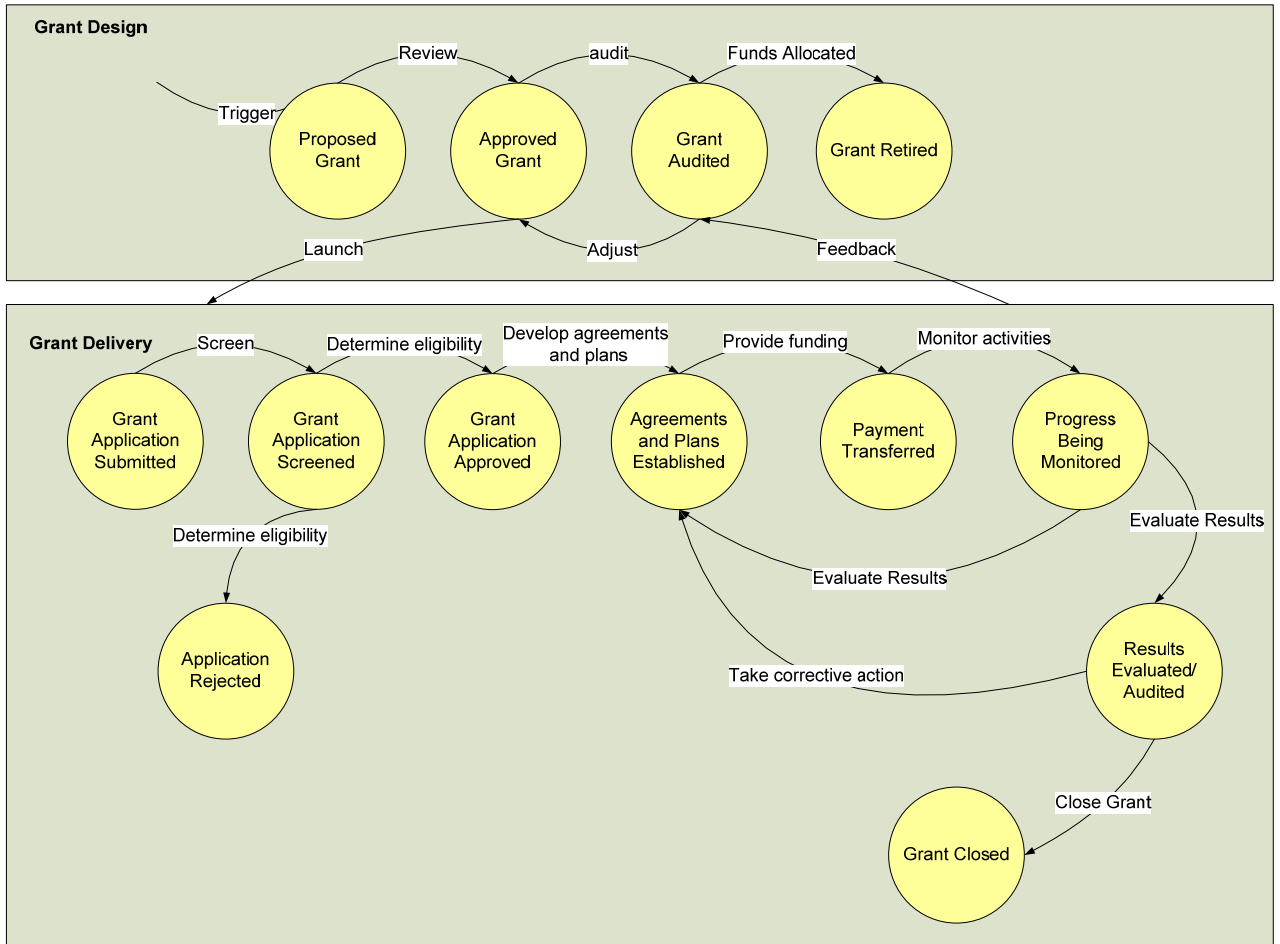


Figure 1 - State Transition Diagram



3.4.1 Lifecycle of a Grant Descriptions

Grants Management has two unique stages, Grant Design and Grant Delivery. Grant Design involves activities that are required for a grant strategy; these include developing, managing and retiring. Program areas develop grants to enable desired behaviours, actions, and/or outcomes in a specific demographic. Once developed the grant program is reviewed, approved and launched, whereby clients can apply. The launched grant program undergoes audits to ensure compliance, performance and improvements if necessary. Retirement of a grant is triggered once the program goals have been achieved and all funds have been allocated.

Grant Delivery is triggered when a grant is officially launched. Clients apply to the grant program by submitting an application. Based on eligibility criteria previously defined in the Grants Design, the Grantor (e.g. program area) conducts an initial screening. The Grantor evaluates eligible applications and awards the grant to approved clients. An agreement and/or plan outlining funding rules, performance expectations, and timelines is developed and approved by all parties. Payments can then be transferred to the client. As part of regular due diligence, monitoring is done and feedback provided. Results of the monitoring are audited and evaluated against the agreement/plan. Corrective action may take place if necessary. Once the terms of the approved agreement/plan have been satisfied, the grant is closed.

3.5 Business Functions

The focus of Grants Management is to provide assurance that grants are provided to directly support achievement of program goals. Success of Grants Management depends on a well-defined mandate, target group needs, business rules and performance evaluation processes.

Business Function: A collection of processes intended to produce a valued output that a business must perform in order to meet its business objectives and continue in existence. As illustrated in Figure 2, a business function may be either a service or a process ⁴

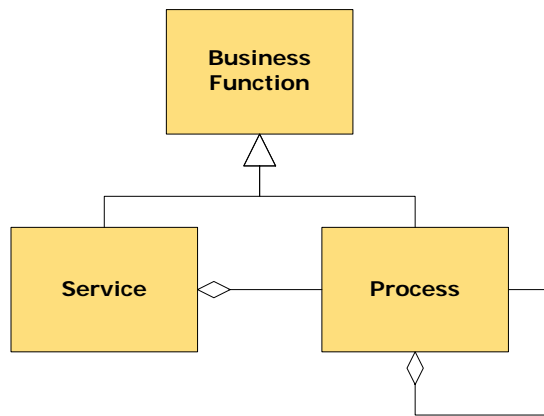


Figure 2 - Business Function

Grants Management involves both delivery functions and management functions. Delivery functions directly support or enable the delivery of one or more service outputs. Management functions support the management of an organization, including the planning, design, provision and monitoring/evaluation of programs and services.

These two types of functions are presented separately. Delivery functions focus on the client, while management functions focus on administration of the organization.

⁴ GO-ITS 56.1 Defining Programs and Services in the OPS, section 1.3.1.

3.5.1 Delivery Functions

Typically, grantors provide the ability for clients to submit applications; they award grants and monitor the grant recipient's performance until the intent of the grant is achieved. Additionally, grantors may need to manage appeals when the program permits challenges on the outcome. The dashed lines in Figure 3 indicate that the process of Managing Appeals is not always applicable.

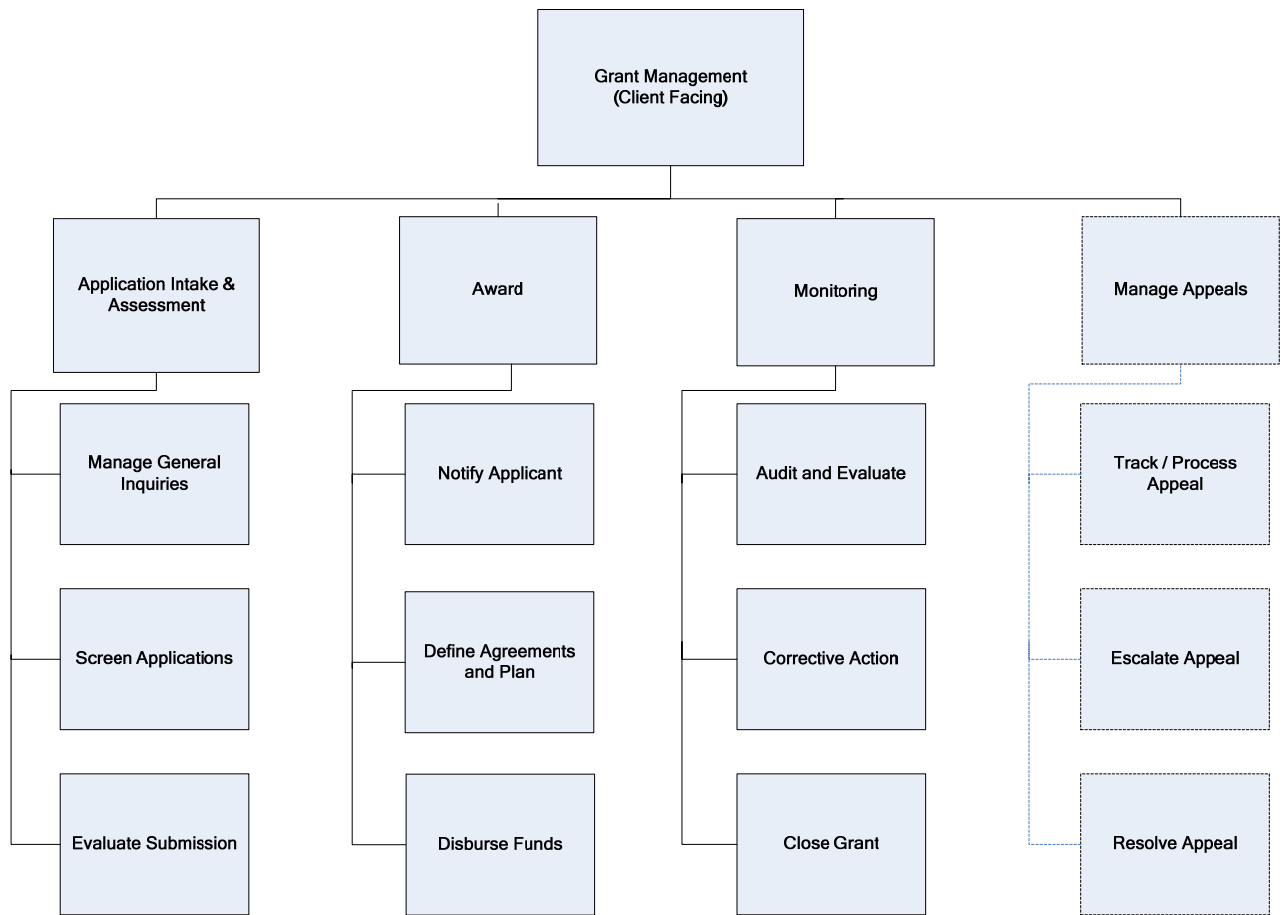


Figure 3 - Delivery Functions



3.5.2 Delivery Function Descriptions

Functions	Processes	Description
Application Intake and Evaluation		The process that allows individuals to collaborate with the grantor to determine eligibility.
	Manage General Inquiries	A method of providing information to an undefined demographic.
	Screen Applications	A preliminary review of applications to ensure that all required information is submitted and that high-level requirements are being met. Applications that pass the screening process proceed to evaluation.
	Evaluate Submission	A detailed review of the applicant's information including all supporting documents. This process could result in an approval, non-approval, or third party review (if applicable).
Award		The collaborative process between the grantor and the approved party resulting in a formally documented agreement/contract.
	Notify Applicant	Notification to the client (grant recipient) that they have been approved to receive the grant. Notification could include formal announcements including media coverage.
	Define Agreements and Plan	A legal document negotiated and signed by the Province (grantor) and the client (grant recipient) once the Province decides to provide funding to the recipient. This agreement/contract includes criteria such as <ul style="list-style-type: none"> • accountability, monitoring and reporting requirements • performance measures, targets and measurement systems • provisions for corrective action • Agreed listings of amounts and dates payments are to be transferred, as outlined in the agreement/contract.
	Disburse Funds	The transfer of monies from one party to the other as directed by the agreement/contract.

Functions	Processes	Description
Monitor		The oversight capacity to ensure that recipients receiving transfer payments are providing the services for which funds have been provided. Oversight includes the ability to administer a program, assess risk, communicate with transfer payment recipients on a regular basis, monitor the results for contracted projects and services arising from transfer payments, and take corrective action when necessary.
	Audit and Evaluate	The comparison of actual expenditures and results against previously defined criteria, to determine if a gap exists.
	Corrective Action	A process initiated when agreed-to criteria are not achieved. This can be based on mandatory requirements and the risk assessment results. Steps taken can include: <ul style="list-style-type: none"> • review and adjustment of expectations and agreement for continuous improvement as required • continuous monitoring and follow-up • repayment of funds
	Close Grant	Once the contractual obligations have been met a closing process is triggered resulting in lessons learned, reporting, and financial closure.
Manage Appeals		The process of adjudicating complaints between the client, the grantor and service provider and issues findings and rulings that direct future direction and action.
	Track / Process Appeal	The process of accepting, processing and tracking appeals.
	Escalate Appeal	The process of determining the appropriate level of authority required to handle an appeal and elevating the appeal to the appropriate level.
	Resolve Appeal	The processes required to get a ruling to resolve an appeal. The decision of an appeal may involve changes to the plan or agreement.

Table 5 - Delivery Function Descriptions

3.5.3 Management Functions

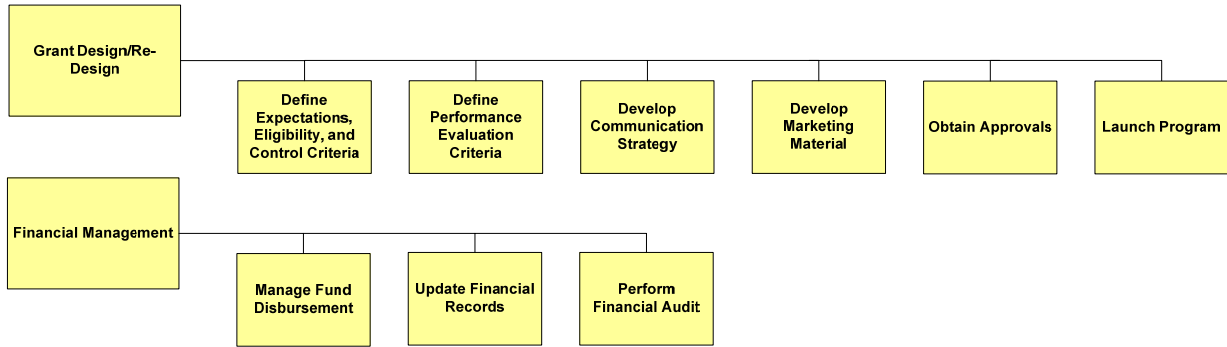


Figure 4 - Management Functions

3.5.4 Management Functions Description

Functions	Process	Description
Grant Design / Re-design Grant		The development and introduction of a new service offering by the program or a modification to an existing service offering to address the needs of a defined target group.
	Define Expectations, Eligibility, and Control Criteria	The formalization of performance expectations agreed upon between parties for services provided, including to service provider agencies. Clearly defines each parties role, accountability, and responsibility. The consideration of the transfer payment environment, clarifying: <ul style="list-style-type: none"> • Program objectives • Performance measures and targets • Risk Management: Identify the risks to meeting the program objectives. • Measurement, assessment and prioritization of risks. • Plan and take action, e.g., risk management strategies.
	Define Performance Evaluation Criteria	The identification of standards to which one can compare actual performance with that planned in terms of both resource utilization and production.
	Develop Communication Strategy	The development of a plan that considers how the message will be broadcasted and to what audience. The communication strategy should be regularly and consistently evaluated for its

Functions	Process	Description
		effectiveness and efficiency with measurable targets and objectives.
	Develop Marketing Material	The creation of material used to communicate a message to a targeted audience. This could include, mailings, brochures, presentation, proposals, contracts, e-mails, printed and online forms, catalogues, etc.
	Obtain Approvals	The process of obtaining proper authorization as outlined in the ministries' (or ministry's) governance process, e.g. funding
	Launch Program	The formal introduction of the grant program to the public. The method of the launch will be directed by the communication strategy.
Financial Management		A grouping of services that include centralized payment, collection, reporting services, oversight of cash flow as defined in the agreement/contract. Financial reconciliation of program budgets.
	Manage Fund Disbursement	The process of overseeing the dispensing of funds or fund recovery from one party to the other as directed by the agreement/contract.
	Update Financial Records	The posting of financial information as a result of the funds transfer.
	Perform Financial Audit	The process of review the integrity of the financial transactions.

Table 6 - Management Functions Descriptions

3.6 Grant Management Delivery Strategies

Once an enterprise has determined that it has a need to implement a Grants Management business model, the next decision is what form, or strategy, the implementation will take. Both program delivery and service delivery strategies need to be described:

- Program delivery strategies set the direction of the grant program in achieving its mandate to meet the needs of its target groups. It is achieved through the provision of services.
- Service delivery strategies determine how a service will be delivered to clients.

Program Delivery Strategies

Listed below are three generic program delivery strategies to be considered.

- **Supply Capacity** - The program may choose to supply resources to enlarge the target group's capacity to act. For example, the government



may choose to provide grants to students to ensure that they can participate in postsecondary education, such as OSAP grants and bursaries.

- **Enhance Capability** - The program may fund services that enhance the target group's capabilities for action. For example, the government may choose to provide grants for hands-on training and certification to individuals to enable them to work in occupations requiring skill sets in industry, such as mining or crane operation.
- **Enable and Influence** - The program may fund services that facilitate and influence the target group's actions. For example, the government may choose to provide grants for energy efficient appliances to encourage the replacement of home appliances.

Service Delivery Strategies

Listed below are three generic service delivery strategies to be considered.

- **Direct Delivery** – where the grantor who is *accountable for program outcomes is accountable for delivering services*;
- **Managed Provider** – where a 3rd party organization manages one or more of phases of service delivery of the service offering(s) on behalf of a grantor. The grantor retains accountability for service performance and the 3rd party organization is responsible for the service delivery processes;
- **Partnership** - two or more organizations share risks, resources, and accountability in providing services.

The following table outlines three strategies that are commonly used when delivering grants. In instances where the Grant Management business is complex, a combination of these strategies can occur.

Each strategy is differentiated based on the authority and responsibility of the service provider for:

- Service delivery; and
- Monitoring and evaluation of achievement of the program goals.

Refer to GO-ITS 56.1 Defining Programs and Services in the OPS for further information on delivery strategies

Strategy	Accountabilities	Service Provider
Direct Delivery	<ul style="list-style-type: none"> for addressing inquiries for applicant assessment for awarding grant for monitoring and evaluation of the grant 	Program Owner
Managed Provider	<ul style="list-style-type: none"> for addressing inquiries for applicant assessment for awarding grant for monitoring and evaluation of the grant for managing 3rd Party Provider contract 	3 rd Party Provider
Partnership	<ul style="list-style-type: none"> for addressing inquiries for applicant assessment for awarding grant for monitoring and evaluation of the grant 	External Program partner Program Owner 3 rd Party Provider

Table 7 - Grant Management Delivery Strategies

3.7 Business Rule Types

Grants Management is a rule driven service delivery model. Business rules are implemented in a number of instruments such as agreements/contracts, policy, regulation, memorandum of understanding, etc. The business implementation strategy that is chosen is one, but not the only, determinant of the business rules that are required.

The following table highlights areas where formal *business rules specific to Grants Management may need to be established*.

Rule Type	Explanation
Government Discretion	Grants are transfers of monies that are made at the discretion of a government. A set of business rules defines the decision criteria for exercising discretion.
Eligibility	Ministries and classified agencies must define the eligibility criteria for all transfer payment programs.
Mandatory Requirements / Recipient Obligations	Ministries and classified agencies must define the mandatory requirements and/or obligations for all transfer payment programs. This includes requirements for reporting on fulfillment of obligations.



Rule Type	Explanation
Corrective Action	Where there is non-compliance with the obligations of the transfer payment program or where a transfer payment recipient has failed to meet contractual obligations, corrective action must be initiated in proportion to the risk associated with the degree of non-compliance. A set of business rules defines the nature and progression of corrective actions.
Grant Coordinator	Normally, a grant coordinator would be formally named and granted some level of authority. Business rules would define the level of authority.
Appeals	If the program includes provisions for an appeal process, the process must be fully documented with explicit business rules.
Agreements	An agreement must be in place between the grantor (Province) and a grant recipient before transfer payments are made. These form the basis of business rules for the duration of the agreement.
Governance and Accountability Requirements	In providing transfer payments under shared cost agreements and grants, ministries and classified agencies must ensure that the grant recipients receiving transfer payments have governance structures and accountability processes to properly administer and manage public funds and to provide the services for which the transfer payments are made.

Table 8 - Business Rule Types

4 Summary

This reference model is provided as a starting point to illustrate that many individual grant programs have a common basis. It is important to note that any tool that may provide this functionality should not dictate the way the business should operate.

The intent of the business architecture for a grants program should minimally address the following:

- Mandated Program Goals related to meeting the desired outcomes for the client;
- Business functions for both delivery and management of the organization;
- Business rules define how funding will be delivered and the administration of the grant program; and
- A program evaluation and performance monitoring process, including the designation of an oversight body.

Once the client facing component of the Grant Management business model is complete, the support services can be defined to support the business. For example, business rules relating to information management would be developed and the various accountabilities of parties would be the basis of contractual agreements between support service organizations and public service providers.