City of Kingston Heritage Fund

Small Operating Grant
Guidelines 2021-2022

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Introduction

The City of Kingston Heritage Fund (CKHF) Operating Grants provide support to Kingston's non-profit, cultural heritage organizations. The City of Kingston has approved **$302,940** in operating funds for the 2021-2022 CKHF grant cycle.

Two types of operating grants will be available in the 2021-2022 grant cycle:

- **Large Operating Grants[1]**, not to exceed $75,000
- **Small Operating Grants[2]**, not to exceed $5,000

The Kingston Association of Museums, Art Galleries, and Historic Sites Inc. (KAM), administers the grant program, using a juried peer-review process, subject to a Kingston City Council approved CKHF Administrative Plan.

Purpose

CKHF operating grants are intended to assist organizations with operational stability and enable development and delivery of cultural heritage programming and services in the community. Cultural heritage includes activities that present the traditions and historical practices of the community. Operating grants will support core operating expenses and programming costs, in line with CKHF objectives.

City of Kingston Objectives
  (i)   Culture and creativity are important sources of wealth creation and are being leveraged to develop community vitality;
  (ii)   align tourism marketing and attraction strategies, creating greater return-on-Small and refocusing marketing strategies;
  (iii) create awareness and civic pride in our history and heritage;
  (iv)   heritage and culture are key to a vibrant community and are economic drivers for the local economy;
  (v)   enhance Kingston's distinctive identity, enrich the cultural life of residents and attract newcomers, audiences and visitors from around the world;

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[1] Formerly called Full Operating Grants
[2] Formerly called Investment Operating Grants

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(vi)   build the creative experiences that are the basis of an authentic tourism strategy;

(vii)   embrace Kingston's powerful historical narrative, built heritage, and natural heritage features, as unique resources that can be used to tell Kingston's stories;

(viii) use cultural heritage to enhance the reputation of the City of Kingston as a community where history and innovation thrive; and

(ix)   support initiatives that align with the City's strategic objectives for promotion of heritage and cultural vitality.

Cultural Heritage Sector Objectives

(i)   leverage municipal Smalls in museums, heritage projects, cultural groups and historical societies, to increase their profile, capacity, impact, relevance, and sustainability;

(ii)   encourage the development and creation of innovative cultural heritage programming and initiatives that promote cultural vitality;

(iii)   increase access to quality local cultural heritage activities;

(iv)   support and promote the preservation, protection, documentation and conservation of significant Kingston artifacts and archival materials;

(v)   develop the means of organizing, collecting, and interpreting Kingston's stories, both tangible and intangible, and engaging the community at all levels of the process;

(vi)   encourage collaboration with other orders of government, and the business and community sectors;

(vii)   seek professional development opportunities that benefit the cultural heritage sector, in collaboration with other stakeholders; and

(viii) nurture the capacity and quality of heritage in Kingston, while fostering excellence.

Organization Eligibility

To be eligible to apply for a CKHF Small Operating Grant, organizations must meet **all** the criteria listed below:

(i)   must be in the City of Kingston, with the majority of related activities of the organization taking place within the City of Kingston;

(ii)   be a non-profit organization, whose fundamental focus is cultural heritage (e.g. Collection, conservation, presentation, etc.) with a mandate to serve the public; and;

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(iii)   provide current year-end financial statements.

Exclusions from Eligibility

Normally, the following organizations will not be eligible for CKHF Operating Grants:

(i)   academic units of publicly or privately funded educational institutions (Universities, Colleges, training centres, etc.…);

(ii)   organizations and activities outside the City of Kingston;

(iii)   for-profit organizations; and

(iv)   cultural heritage institutions that are wholly owned and operated by senior levels of government.

(v)   A CKHF operating grant will no be awarded to an applicant that budgets on a deficit basis. *New for 2021-2022*

Organizations currently receiving grant funding from the City of Kingston through sources other than CKHF are deemed ineligible to receive funding through CKHF for the duration of the grant agreement. In addition, City of Kingston Cultural Services and/or KAM permanent or contract staff may not hold a *primary role* with an organization applying to CKHF. A CKHF Operating Grant will not normally be awarded to an applicant that budgets on a deficit basis and/or successively operates on a deficit basis.

Term of Operating Grants

CKHF Operating Grants will provide funding in single-year increments.   Those organizations in receipt of a CKHF Full Operating Grant will be eligible to reapply in the following year. No grant will be made retroactively, or to fund deficits or shortfalls.

A Note about Concurrent CKHF Operating and Project Grant Applications *New for 2021-2022*

Organizations awarded a CKHF Operating Grant (Large or Small) are not eligible to receive a Community Cultural Heritage Project Grant in the same year, but they are eligible to receive a Cultural Heritage Development Grant in addition to an Operating Grant (Large or Small).

The following grant combinations are possible:

- Large/Small Operating Grant plus Cultural Heritage Development Grant
- Community Cultural Heritage Project Grant plus Cultural Heritage Development Grant

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Organizations may submit applications to both CKHF funding categories, on the understanding that should their application to the Operating Grant category be successful, their Community Cultural Heritage Project Grant application will automatically be removed from consideration (if the application to the Operating Grant is not successful, the Community Cultural Heritage Project Grant application will proceed for due consideration). In order to facilitate this consideration Operating Grants are adjudicated prior to Project Grants.

Eligible Costs

The following expenses are deemed eligible for funding under the CKHF Operating Grant stream:

- (i) rent, lease, or mortgage and utility costs;
- (ii) financial management;
- (iii) staff salaries and wages;
- (iv) liability insurance;
- (v) office supplies;
- (vi) exhibit and program development costs;
- (vii) professional development costs; and
- (viii) property maintenance, security, and cleaning.

Exclusions from Eligible Costs

CKHF Operating Grant funding may not be used for the following:

- (i) seed money for projects or events;
- (ii) major capital expenses including, but not restricted to: land purchase, facility renovations, fixed equipment;
- (iii) to benefit a for-profit venture;
- (iv) bursaries or scholarships;
- (i) deficit reduction; and
- (ii) built heritage preservation projects.

Application Process and Deadline

First time applicants are strongly encouraged to discuss their intention to apply for CKHF funding with KAM's Grant Review Officer, **prior to submitting** an application.

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CKHF 2021-2022 Operating Grant Applications are <u>due by 3 pm</u> on TUESDAY, SEPTEMBER 7th, 2020.

- Application packages are available for download on the KAM website.
- Should you require information in an alternative format, please contact the Kingston Association of Museums, Art Galleries and Historic Sites.
- Applications may be submitted electronically to info@kingstonmuseums.ca
- Please contact the Grant Review Officer for technical assistance with form input.

Applications received in advance of the deadline will be reviewed for completeness and the Chair and/or the Grants Officer(s) may contact the applicant to ask for missing information. The applicant can submit additional materials up to the application deadline.

Additional materials will not be accepted once the submission deadline has passed, and applications will be assessed as submitted. After applications have been reviewed for eligibility, those eligible will be forwarded to the Grants Committee.

Adjudication

The Grant Adjudication Committee will consider the degree to which the applicant organization demonstrates:

(i)   compatibility of the organization's objectives with those of the CKHF;

(ii)   that it fulfills a significant role in Kingston's cultural heritage;

(iii)   that it is operated by qualified cultural/heritage professionals and/or experienced volunteers;

(iv)   high standards in cultural heritage resource management;

(v)   delivery of diverse activities and/or services that interpret and convey the cultural heritage of Kingston;

(vi)   a commitment to the development and delivery of accessible activities and services; and

(vii) organization's strategic objectives are feasible and in alignment with mandate.

Dispute Resolution

All complaints and concerns relating to the adjudication, guidelines and criteria for the allocation of CKHF funding, will be forwarded in writing to the Chair of the CKHF grant

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committees by the complainant, within thirty (30) days of notification of the allocation decision. The Chair will then forward a written report with respect to such complaints and concerns to the Chair of KAM's Board. The City of Kingston will be notified by KAM of all concerns and complaints received.

Allocation

The Jury has discretion regarding the amounts awarded, but normally Small Operating Grants will not exceed $5,000 annually.

Operating funding will be merit-based, allocated according to application score and proportionate to funds available.

The individual scores of each operating grant application will be aggregated into a single score, and a percentile ranking calculated. For example, if an application received a total of 376 points out of a total possible score of 450, this application would receive a percentile ranking of 84%, and the applicant would be initially allocated 91% of their requested grant amount. For example, if an applicant requested $5,000, they would be initially allocated an amount of $4,550.

However, if the amount of applicant requests/merit-based allocations exceed the total funds available, this initially allocated amount will be made proportionate to the total funds available. Using the example above, if the total available operating funds are $254,080, the initial allocation of $4,117.78 would be made proportionate to this number, using the equation that follows:

Total Amount of Funds Available x (percentile ranked allocation/total amount of percentile total ask ranked allocations)

OR

254,080 x (4117.78/328,207.51)

The final allocated amount to this recipient would therefore be **$3,234.20.**

Should a grant recipient decline their operation grant, the remaining available funds will be disbursed proportionately the remaining operating grant recipients, up to the amount of their initial percentile ranking.

Notification of Award

KAM will notify all CKHF grant recipients of the results by email. Successful applicants will also receive a digital grant package containing relevant documents.

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CKHF recipients must agree to the Terms and Conditions of CKHF funding, sign the Operating Grant Agreement and provide proof of $5,000,000 liability insurance in order to receive their CKHF grant cheque.

Terms and Conditions of the CKHF Small Operating Grant include:

- Two signing officers of any organization receiving a CKHF Grant will be required to sign a contract, recognizing its obligations regarding the use of the funds and reporting requirements, prior to delivery of the grant cheque;
- Evidence of $5,000,000 liability insurance coverage will be required from the applicant organization before any funds are released. This insurance coverage must name the Kingston Association of Museums, Art Galleries and Historic Sites, The Corporation of the City of Kingston, Kingston-Frontenac Library Board, Kingston Police Services Board, The Kingston Police Services Board, Kingston Hydro Corporation, 142445 Ontario Ltd. (Utilities Kingston) and 1425447 Ontario Ltd. as additionally insured;
- Grants are to be spent during the organization's 12-month fiscal year ending prior to 31 December 2022. Unspent funds remaining by this date must be returned with the final report;
- Grants shall be used only for the purpose(s) outlined in the application. Any changes in scale, activities, key personnel, and/or timeframe must be reported immediately to the KAM;
- As a recipient of public funds, successful applicants are required to maintain adequate and accurate financial records;
- KAM and the City of Kingston reserve the right to place conditions on the release of CKHF grants. Any such conditions will be communicated to the applicant in their letter of notification;
- Grant recipients are required to acknowledge the support of the Kingston Association of Museums, Art Galleries and Historic Sites and the City of Kingston in all publications and promotional materials.

Reporting Requirements

The following reporting requirements are mandatory for all organizations in receipt of CKHF grant funding:

(i)   Interim Report; to be submitted by July 15th 2022; **and**

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(ii)   Final Report; to be submitted by March 15th, 2023. (Final Reports will be accepted for submission at any time between February 10th 2023 and March 15th 2023).

Successful applications will be provided with reporting templates for both Interim and Final Reports. You are required to use both of these templates for the 2021-2022 grant cycle.

Interim reports include progress on key milestones and measurables, and allows you the opportunity to report on any significant changes in operations and timelines. Note: Please promptly report all changes as they occur to the Grant Review Officer for approval before proceeding.

Final Reports provide a summative reflection upon operations and activities supported through the grant. A detailed budget versus actual report is required, and any unspent portion of grant allocation remaining by December 31, 2021 must be returned with the Final Report.

Non-Compliance with Guidelines

In the event of non-compliance with grant guidelines, late and/or missing reports, the Grant Review Officer will report issues to the Chair of the Grant Committee, and these issues may also be referred to the City of Kingston's designate for resolution.

A Note on Financial Statements *New for 2021-2022*

For grant awards greater than $30,000, **financial statements must be independently audited, and a signed auditors' report (by a CA, CGA or CMA) must be submitted to KAM.**

a. If an organization has an operating budget between $30,000 and $50,000, **a Review Engagement is acceptable to fulfill the request for year-end financial statements.**

b. If the organization has an operating budget greater than $50,000 but less than $250,000 they can, as an organization, choose to **submit either an Audit OR a Review Engagement is acceptable to fulfill the request for year-end financial statements.**

c. If the organization has an operating budget greater than $250,000 they are **required to submit an Audit to fulfill the request for year-end financial statements.**

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For <u>grant awards less than $30,000</u>, a **compilation statement will be deemed an acceptable year-end financial statement.** Compilation is the process by which unaudited financial information is compiled to produce financial statements that are based on information provided by the organization.

Privacy and Protection of Information

KAM has a responsibility to protect the privacy of the personal information of our partners and clients. The collection, retention and disclosure of personal information, online or offline is governed by the PIPEDA. As a publicly funded Association, some sections of the MFIPPA also apply to KAM. Please see KAM's Privacy and Data Collection Use Statement on our website or contact KAM for more information.

Glossary of Terms

Accessibility: physically, intellectually, economically and socially inclusive.

Built Heritage: unique and irreplaceable architecture, which merits preservation.

Capital Expenses: Major Capital: real property; fixed assets.
Minor Capital: removable, non-fixed assets.

Compilation: Compilation is the process by which unaudited financial information is compiled to produce financial statements that are based on information provided by the organization. A compilation does not provide any assurances as to the accuracy or veracity of the financial statements since there has been no audit or review engagement done.

Cultural Heritage: heritage sites and collections of objects; traditions or living expressions inherited and passed on, such as oral traditions, performing arts, social practices, rituals, and festive events.

Cultural Resource: elements of tangible and intangible cultural heritage.

Financial Sustainability: the ability to operate consistently in a manner where expenses do not exceed revenue.

Large Operating Grants: grants designed to support cultural heritage organizations that operate on a year-round basis with day-to-day running costs.

Intangible Cultural Heritage: non-physical aspects of a culture, maintained by social customs; may include social values and traditions, customs and practices, aesthetic and spiritual beliefs, artistic expression, language and other aspects of human activity.

Small Operating Grants: grants designed to support cultural heritage organizations that operate on a seasonal or otherwise limited basis, in developing their potential.

Museum: A building, place, or institution devoted to the acquisition, conservation, study, exhibition, and educational interpretation of objects having scientific, historical, or artistic value.

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Natural Heritage: features include distinctive units such as wetlands, woodlands, valley lands, habitats of endangered and threatened species, areas of scientific interest, and unique or representative visual landscapes.

Operating Grants: support for the day-to-day costs of running an organization.

Peer Review: the evaluation of a body of work by others in the same field, based on a series of benchmarks.

Primary Role: Someone who occupies an executive position and/or decision-making staff or board position within an organization.

Product: in the case of a cultural heritage organization, product can refer to any tangible means by which the mission and mandate of the organization is presented to the public (i.e. exhibits, displays, programming, events, and publications).

Project Grants: support for a specific, finite activity.

Sponsoring Partner: An organization that assumes the financial and reporting responsibilities on a collaborative project grant application. This organization must meet the base eligibility requirements for grant application.

Tangible Cultural Heritage: physical aspects of a culture, including but not limited to buildings, monuments, landscapes, books, works of art, and artifacts.

Tourism: for this document, tourism is interpreted in its broadest context, to include any casual visitor.

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