Administrative Plan

City of Kingston Heritage Fund: 2020-2021

APPROVAL:

Kingston Association of Museums, Art Galleries and Historic Sites, Inc.
Board of Directors
April 28th 2020

Corporation of the City of Kingston
City Council
June 16th 2020

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1. BACKGROUND

The need for the development of standardized City support for the cultural sector was formally identified during the development of the City's Culture Plan. Municipal grants are investments in community, which are critical to organizations' ability to leverage funding from provincial, federal and private sources.

The City of Kingston Heritage Fund (CKHF) was created in 2013 as a recommended in the Kingston Culture Plan with an initial allocation of $100,000 to support project grants only. In June 2014, Council approved the administration plan prepared by the Kingston Association of Museums, Art Galleries and Historic Sites (KAM) for an expanded Heritage Fund that included project grants as well as two streams of operating grants (Full Operating Grants and Investment Operating Grants). Project grants are allocated 25% of the available funds, while operating grants are allocated 75% of available funds.

This 2020-2021 CKHF Administrative Plan outlines the delivery model for the distribution of annual project and operating support for museums, heritage projects, cultural groups and historical societies, and reflects the stated needs of the sector.

2. CITY OF KINGSTON HERITAGE FUND: 2020-2021

2.1 OVERVIEW

A sum of $396,000 was approved in Kingston's 2020 operating budget, for distribution in the 2020-2021 City of Kingston Heritage Fund (CKHF) grant cycle. The CKHF application and adjudication process will occur in 2020. The actual CKHF project period will run for the following calendar year, however, so that each full grant cycle will be approximately 18 months in duration. For the 2020-2021 grant cycle, it is anticipated that funds will be awarded in January 2021, and CKHF projects will be completed by December 31, 2021. The City of Kingston 2020 budget includes the funds approved by Council for the 2020-2021 CKHF grant cycle.

Following Council ratification of the 2020-2021 Administrative Plan for the CKHF the notice of funding availability will be made public. The CKHF grant guidelines and applications will be distributed online (in-print upon request) and a public meeting will be held to explain the CKHF application and adjudication processes. KAM will also provide a grant writing workshop for potential applicants.

As detailed in this *Administrative Plan*, adjudication of grant applications will be undertaken by a CKHF peer review Jury recruited from the cultural heritage sector by KAM.

2.2 OBJECTIVES

Several municipal policy and planning documents contain both broad principles and detailed objectives for community investment in the cultural heritage sector, and to animate Kingston's motto of *"where history and innovation thrive"*. These documents include:

- Kingston's Strategic Plan 2019-2022;
- City of Kingston Culture Plan (2010);

Principal objectives which appear in the documents above include objectives that allow the City of Kingston to leverage cultural heritage in ways that support the local cultural and tourist economies share cultural heritage with the Kingston Community, and support the development of the cultural heritage sector itself.

2.2.1 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-investment 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;

(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.

2.2.2 Cultural Heritage Sector Objectives

(i)   leverage municipal investments 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.

3. SCOPE

3.1 OPERATING GRANTS

The City of Kingston Heritage Fund (CKHF) Operating Grants provide support to non-profit, cultural heritage organizations. Based on comments received from the cultural heritage sector, and in compliance with CKHF objectives, two levels of operating grants are available in the 2020-2021 grant cycle: Full Operating Grants, and Investment Operating Grants.

3.1.1 Purpose of Operating Grants

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.

3.1.2 Term of Operating Grants

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

3.1.3 Eligibility for Operating Grants

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

(i) 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, with a mandate to serve the public;

(iii) have been incorporated for a minimum of two years by the end of the calendar year in which the grant application is made;

(iv) have previously been in receipt of a CKHF Project Grant and/or Operating Grant; and

(v)   provide latest year-end financial statements.

To be eligible to apply for a CKHF **Investment 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
(iii)   provide current year-end financial statements.

Prior to the first jury meeting, the CKHF Grants Officer(s) and the Chair will review all applications for completeness and eligibility, in cases where eligibility is uncertain the grants officer(s) and the Chair will work with the City of Kingston Cultural Services Director (or their designate) to make decisions regarding eligibility.

Successful applicants will be required to provide proof of $5 million liability insurance coverage prior to awarding of CKHF funds, naming the Kingston Association of Museums, Art Galleries and Historic Sites (KAM) and the City of Kingston as additional insured.

3.1.4 Exclusions from Operating Grant 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.

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.

3.1.5 Eligible Operating Grant Expenses

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.

3.1.6 Exclusions from Operating Grant Eligible Expenses

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;

(ii)   deficit reduction; and

(iii)   built heritage preservation projects.

3.2 PROJECT GRANTS

The CKHF Project Grants are intended to support initiatives that align with the CKHF objectives. 10% of the awarded funds are held back until after the project is satisfactorily completed and the final report is submitted.

3.2.1 Project Grant Eligibility

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

(i)   be in the City of Kingston;

(ii)   the applicant organization must be either:

    a.   incorporated as a non-profit cultural heritage organization; or

    b.   incorporated as a distinct and discrete non-profit entity organization created solely to support a cultural heritage organization or initiative. Examples of eligible supporting organizations include "Friends of…"; or

    c.   incorporated as a non-profit, whose fundamental focus may not be cultural heritage exclusively, but whose project application is culturally or heritage based; and

(iii)   provide latest year-end financial statements.

Prior to the first jury meeting, the CKHF Grants Officer(s) and the Chair will review all applications for completeness and eligibility, in cases where eligibility is uncertain the grants officer(s) and the Chair will work with the City of Kingston Cultural Services Director (or their designate) to make decisions regarding eligibility.

Successful applicants will be required to provide proof of $5 million liability insurance coverage prior to awarding of CKHF funds, naming KAM and the City of Kingston as additional insured.

3.2.2 Collaborative Projects

Collaborative projects involving multiple partners and organizations will be considered for CKHF Project Funding. To meet CKHF funding requirements, any incorporated non-profit or charitable organization (except for KAM) may agree to serve as the lead agency or sponsoring partner for a collaborative project. The following eligibility criteria must be met for all collaborative project applicants:

(i) all project collaborators must be in the City of Kingston;

(ii) applications must identify the lead organization/sponsoring partner (responsible for signing and submitting the application), list partner agencies, and provide letters of support for the project from the partners;

(iii) applications must state the terms of the collaborative project, and the way the duties, and responsibilities for the project will be shared;

(iv) applications must identify the division of project costs and budget responsibilities, in addition to the distribution of any potential project deficit; and

(v) the lead organization/sponsoring partner assumes ultimate responsibility for providing proof of insurance, financial management, and for meeting the reporting requirements for the collaborative project.

3.2.3 Exclusions from Project Grant Eligibility

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

(i) academic units of publicly or privately funded educational institutions (colleges, universities, training institutions, etc.…);

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

(iii) individuals;

(iv) for-profit organizations; or

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

Each organization may apply for support for one project per grant cycle. Organizations awarded a CKHF Operating Grant are not eligible to receive a CKHF Project Grant in the same year. Organizations may submit applications to all CKHF funding streams, on the understanding that should their application to the Operating Grant stream be successful, their Project Grant application will automatically be removed from consideration (if the application to the Operating Grant stream is not successful, the Project Grant application will proceed for due consideration). In order to facilitate this consideration Operating Grants are adjudicated prior to Project Grants.

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.

3.2.4 Term of Project Grants

CKHF Project Grants are awarded for a term of one calendar year. No grant will be made retroactively, or to fund deficits or shortfalls. Applications for projects, which recur or are phased, must be submitted annually and will be adjudicated based on the following criteria:

(i)   success of the project in the previous grant cycle;

(ii)   availability of funds, in the context of the priorities for funding;

(iii)   relevance to the applicant's audience, residents of Kingston, and Kingston's historical narrative.

3.2.5 Exclusions from Project Grant Eligible Costs

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

(i)   major capital projects including, but not restricted to, the purchase of land, facility renovations, fixed equipment;

(ii)   to benefit a for-profit venture;

(iii)   built heritage preservation projects;

(iv)   refreshments;

(v)   for fundraising events and/or to recover the cost of a deficit;

(vi)   to fund bursaries and/or scholarships;

(vii)   retroactive funding for projects that have already occurred; or

(viii) to pay staff salary related to the daily operations of a site/venue.

4. PROCESS

The City of Kingston Heritage Fund's (CKHF) annual grant cycle allocation is subject to approval by City Council through its annual budget process. Funds are provided to the Kingston Association of Museums, Art Galleries and Historic Sites (KAM) for distribution following ratification of the CKHF Jury recommendations by City Council.

4.1 APPLICATIONS

4.1.1 Application Schedule and Timeline

The application schedule and CKHF grant cycle timeline are determined by the KAM Board in consultation with KAM Grants Officer(s), the CKHF grant committees' Chair and the City of Kingston Cultural Services Director (or their designate) and is made available as part of the CKHF application package.

To be considered for funding, organizations and collaborators must submit relevant grant applications to KAM's CKHF Grants Officer, on or before published deadlines. There will be two application deadlines: one for Operating Grants and one for Project Grants. All applications will be date stamped when received. Applicants will receive two notifications; the first that their application was received, and the second that it was deemed eligible to be forwarded to the Jury. A copy of the applicant notification will be retained in KAM's CKHF grant program files.

The application process, from the application deadline to the notification of funding typically takes up to four months. The CKHF Jury reviews and makes recommendations within two weeks of the application deadline, usually in September. The review of jury recommendations by the KAM Board and the forwarding of the recommendation report to City Council occurs within three months of the application deadline. Finally, the review and approval of CKHF Jury recommendations by City Council occurs within four months of the application deadline, usually in December of the application year.

4.1.2 Incomplete or Inaccurate Applications

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. Once the deadline has passed, additional materials will not be accepted, and the submission will be assessed as submitted.

4.2 ADJUDICATION

After applications have been reviewed for eligibility, the jurors receive electronic copies of applications to read through.

The first adjudication meeting includes:
  (i)   Overview of applications and available funds
  (ii)   Overview of scoring matrix, and matrix provided to jury
  (iii) General discussion about each application among jury

Jurors then complete the scoring matrix independently and submit their matrices to the KAM Grants Officer(s) for aggregation.

The second adjudication meeting includes:
  (i)   Presentation of aggregate scores.
  (ii)   Discussion of each application.
  (iii) Determination of final rankings.
  (iv)   Proposal for the allocation of funds.

Once adjudication is complete, the Grant Committees' Chair submits a recommendation report regarding the allocation of funds to the KAM Board of Directors for ratification. Once ratified by

the KAM Board of Directors the final recommendations are submitted for ratification by City Council.

4.2.1 Adjudication of CKHF Full Operating Grants

The grant 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)   success in generating revenue from diverse sources in addition to CKHF;
(iv)   that it is governed by appropriately experienced and qualified directors;
(v)   that it is operated by qualified cultural/heritage professionals and/or experienced volunteers;
(vi)   high standards in cultural heritage resource management;
(vii)   delivery of diverse activities and/or services that interpret and convey the cultural heritage of Kingston;
(viii) a clear understanding of the organization's target audience and its needs;
(ix)   commitment to the development and delivery of accessible activities and services;
(x)   appropriate advertising and marketing strategies to engage target audience;
(xi)   feasible strategic objectives that are in alignment with mandate;
(xii)   that it effectively measures the success of its activities and services on an ongoing basis; and
(xiii) satisfactory completion of all reporting requirements required under the prior CKHF funding stream.

4.2.2 Adjudication of CKHF Investment Operating Grants

The grant 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.

4.2.3 Adjudication of CKHF Project Grants

To determine the merit of CKHF Project Grant applications, the CKHF Jury will base their recommendations on the merit of each application. To determine the merit of Project Grants, the

grant committee will consider the degree to which the applicant organization's proposed project demonstrates:

(i)   alignment of the project's objectives with those of the CKHF;

(ii)   deliverables that are accessible and inclusive;

(iii)   benefits to the target audience are well defined;

(iv)   a project plan that includes all key activities and human resources required for project's success, in the available timeframe;

(v)   clear and measurable project objectives/outcomes;

(vi)   that the project staff/volunteers, including collaborators, have the required qualifications/experience to successfully complete project;

(vii) a project budget that reflects diversified funding (in-kind contributions qualify); and

(viii) a project budget that reflects sufficient resources to achieve project objectives.

4.3 ALLOCATION

Funding between the Project and Operating streams are split 25/75 and the Jury has discretion regarding the actual amounts awarded to applicants within each stream.

The maximum annual Project Grant awarded will be $20,000, the maximum annual Full Operating Grant will be $75,000 and the maximum annual Investment Operating Grant will be $5,000.

Grant funds that are not awarded, or grant funds returned to KAM, will be allocated to the following year's CKHF program.

4.3.1 Allocation of CKHF Operating Funds

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 729 points out of a total possible score of 800, this application would receive a percentile ranking of 91%, and the applicant would be initially allocated 91% of their requested grant amount. For example, if an applicant requested $75,000, they would be initially allocated an amount of $68,343.75.

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 $68,343.75 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 ranked allocations)

OR

254,080 x (68,343.75/328,207.51)

The final allocated amount to this recipient would therefore be $52.907.93.

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.

4.3.2 Allocation of CKHF Project Funds

After applications have been scored, each applicant is then ranked relative to the other applications. Applications must receive a minimum score of 60% in order to receive funds from the Project Grant stream.

The highest ranked application is discussed first, and funds are allocated at the discretion of the jury. All other applications are discussed in their rank order until all the available funds have been allocated.

4.4 REPORTING REQUIREMENTS

4.3.3 CKHF Grant Recipients

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

  (i)   Interim Report; to be submitted by July 15, 2021;
  (ii)   Final Report; to be submitted by March 15, 2022.

CKHF grant recipients must use the provided reporting templates, both for the Interim Report and the Final Report.

Interim reports will include progress on key milestones and measurables. Changes in project scale, activities and timeframes must be reported promptly to the Grant Review Officer and approved before proceeding.

Final Reports will report on overall achievements, as well as reflect upon outcomes, impacts, indicators of success and other performance indicators (visitor data, programming and outreach, professional development, market readiness, etc.). Operating grant recipients will also reflect on the overall sustainability of the organization, and diversification of revenue streams. A detailed budget versus actual report is required, and any unspent portion of grant allocation remaining by December 31, 2021 must be returned with Final Report.

Project Grant recipients will receive a payment representing the 10% holdback upon successful completion of reporting requirements.

A Note on Financial Statements:

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

If an organization has an <u>operating budget between $30,000 and $50,000</u>, **a review engagement (notice of review) is acceptable to fulfill the request for an audited statement**.

If the organization has an <u>operating budget greater than $50,000 but less than $250,000</u> they can, **as an organization, choose to submit either an audit or a review engagement (notice of review).**

If the organization has <u>an operating budget greater than $250,000</u> they are **required to submit an audit.**

Non-compliance with project guidelines, late and/or missing reports, are to be reported to the grant committees' Chair by a KAM Grants Officer, and may be referred to the City of Kingston's designate for resolution.

4.3.4 KAM Reporting

KAM will provide an annual report to the City of Kingston. This report will include a Report of the Chair of the CKHF grant committees, which identifies successful CKHF applicants. The report will also include a brief outline of the requests for funding, the dollar value of each of the requests received, and details of the allocations. The report will also specify the number of unsuccessful applicants, the total value of funds requested, and an outline of the adjudication process.

The CKHF Report will be brought forward to Council, as part of a City of Kingston report. Once considered by Council, the Report will be a matter of public record, and available through the KAM office. Prior to that approval, the Report and its contents are confidential.

5. CKHF GRANT COMMITTEES

5.1 GRANT COMMITTEE MEMBERSHIP

There are separate CKHF grant committees for each funding stream; CKHF Operating Grant applications will be considered separately from CKHF Project Grant applications. The Chair and the non-voting members in attendance may be the same for all committees; separate peer review jury panels will be developed for each funding stream.

5.1.1 Selection of Members for Grant Committees

Members of the CKHF grant committees will be drawn from the Kingston community. All members of the committees will:
  (i)   be committed to excellence in cultural resource management;
  (ii)   be committed to fiscal responsibility;

(iii)   be committed to the development of Kingston's cultural resources;

(iv)   have an understanding, interest, and appreciation of cultural heritage in all its diverse forms;

(v)   bring vision, open-mindedness, and generosity of spirit to all deliberations;

(vi)   declare conflicts of interest; and

(vii)   provide fair and objective opinions.

5.1.2 The Grant Committees' Chair

A CKHF Grant Committee Chair will be appointed by KAM's Board of Directors to oversee all CKHF adjudication. Only KAM Board members, who do not present with conflicts of interest or association with current CKHF applications, may be selected for appointment as CKHF Chair.

5.1.3 Grant Committee Jurors

Jurors are chosen and appointed from a list of potential jurors by the CKHF Jury Selection committee, composed of:

(i)   the Chair of the grant committees;

(ii)   KAM Grant Officer(s); and

(iii)   the President of the KAM Board or designate.

All potential jurors are required to submit an *Expression of Interest Form* and their curriculum vitae to the CKHF Jury Selection Committee. Based on submitted documentation, and following the Committee's consideration of jury applicants' eligibility, a potential jury list will be struck. If there are concerns regarding any apparent conflicts of interest regarding potential jurors the CKHF Grants Officer(s) and the chair will review jurors *Expression of Interest Forms* and may contact the potential juror for clarification on the matter of concern. If concerns persist, the grants officer(s) and the chair will work with the City of Kingston Cultural Services Director (or their designate) to make decisions regarding juror eligibility. Conflicts that arise with jurors once the applications have been circulated for review are addressed in section 5.6 of this document.

5.1.4 Grant Committee Juror Eligibility

The CKHF peer review jury members should be reflective of Kingston's diversity in age, gender, demography and culture. This peer review jury must be composed of cultural heritage professionals, practitioners, and/or persons who are knowledgeable about cultural heritage, with high standing within the sector. Other criteria include:

(i)   representative of a wide range of disciplines and interests within the cultural heritage sector;

(ii)   knowledgeable and experienced in cultural heritage, cultural heritage organizations, and cultural heritage issues;

(iii)   knowledgeable about the City of Kingston context as it relates to cultural heritage;

(iv)   knowledgeable about the broader cultural heritage environment beyond their area of expertise;

(v)   able to articulate their opinions and have good communication skills; and

(vi)   work in a group decision-making environment;

5.2 VOTING

A key principle of the CKHF granting process is that all decisions regarding the awarding of funding will be made by independent peer assessment, at arm's length from the City of Kingston. For this reason, there are two categories of membership in the CKHF grant committees: voting and non-voting.

5.2.1 Voting Grant Committee Members

The voting members of the CKHF grant committees are the Jurors who are responsible for adjudicating applications and allocating funding in accordance with CKHF guidelines. Voting members include:

(i)   the Chair of the Grant Committees, who may vote only in the case of a tie vote;

(ii)   five Jurors appointed per the described process.

5.2.2 Non-voting Grant Committee Members

The grant committees also have two categories of ex-officio, non-voting members:

(i)   *City of Kingston Representatives*: Ex-officio members of the CKHF grant committees representing the City of Kingston will be appointed by Council to include a City of Kingston Councillor for each fund stream, and the Director of Cultural Services,City of Kingston or their delegate. They may participate in discussions about applications but are not permitted to vote.

(ii)   *KAM Grants Officers:* KAM's Grant Officers are present to act as the grant committees' secretary and to serve as a committee resource. At the discretion of the Chair, the Officer(s) may be asked for information regarding factual details. They may participate in discussion if requested to do so by the Chair but are not permitted to vote.

5.3 GRANT COMMITTEE MEETINGS

A schedule of meetings will be established for the CKHF grant committees at the beginning of the adjudication process. All CKHF grant committee members will receive a reasonable notice of a change to previously scheduled meeting dates/times or venues.

5.3.1 Forms

Each member of the grant committees, both voting and non-voting, is required to complete and sign:

(i)   a *Confidentiality Form*, acknowledging that the member has read, understands, and agrees to abide by the rules of confidentiality ascribed to the grant committees; and

(ii) a *Conflict of Interest Declaration Form*, in which the member discloses the applications with which they have any direct or indirect conflict of interest.

5.3.2 Quorum

A quorum will consist of a simple majority of the voting members. The Chair of the grant committees is considered a voting member for establishing a quorum.

5.3.3 Decisions

Jurors are required to assess applications in accordance with CKHF objectives, the application guidelines and scoring matrix. After discussion within the grant committees, Jurors will decide on the allocation of grant funding. Should a vote be required, only Jurors may vote. The Chair may vote in the event of a tie.

Once adjudication is complete, the Grant Committees' Chair submits a recommendation report regarding the allocation of funds to the KAM Board of Directors for ratification. Once ratified by the KAM Board of Directors the final recommendations are submitted in a report to City staff and are then included in a City staff report brought forward for ratification by City Council.

5.4 TERMS OF APPOINTMENT

Terms of appointment by the City of Kingston representatives are at the discretion of City Council.
(i)   Appointment of the Chair of the CKHF grant committees is usually for two grant cycle terms. The Chair may not serve as chair for more than three consecutive terms.

(ii) Peer review jury members are appointed for one grant cycle terms. At least two jurors should have previous experience in a similar process. A jury member may not serve as juror for more than four consecutive grant cycles.

5.5 CONFIDENTIALITY

Communication of CKHF allocation results and relevant jury comments will only be made via the CKHF's grants administrative office. Grant committees' members may not divulge, or use information regarding applications to the CKHF gleaned in their role as a committee member, without the express written permission of the applicant. In order to ensure independence in decision-making, the names the CKHF Grant Committee members will not be disclosed until the report to Kingston's City Council is published

Any information pertaining to the CKHF obtained during the meeting of a grant committee, a meeting of KAM's Board of Directors or Executive Committee, or from reading any minutes of a meeting of KAM's Board of Directors, Executive Committee, or grant committees, is considered confidential.

5.6 CONFLICT OF INTEREST

KAM is particularly concerned with transparency of the granting process, and subsequently with potential conflicts of interest. Issues of direct (both financial and private) and indirect conflict of interest are considered below.

5.6.1 Conflict of Interest for Jurors

All Jurors are asked to sign forms identifying direct or indirect conflicts of interest, as a means of documenting the transparency of the CKHF grant awarding process. KAM will request that potential CKHF grant committees' members identify present and past memberships or participation in Kingston cultural heritage organizations during the preceding two-year period. If a conflict is identified, at the relevant grant committee meeting the Chair of the grant committees will answer any questions, facilitate a discussion of juror impartiality, and decide how potential conflict situations will be managed.

A Juror is in a direct conflict of interest if:

(i)   They or a member of the Juror's immediate family (spouse or equivalent, son or daughter, parent, sibling, or other member of the Juror's immediate household) has a financial interest in the success or failure of a CKHF application;

(ii)   They have a private interest in the success or failure of a CKHF application. Staff, board members of the organization applying for funds, or members of their immediate families (spouse or equivalent, son or daughter, parent, sibling, or other member of the Juror's immediate household) are deemed to be in direct conflict. Private interest also includes affiliations or activities that compromise or unduly influence decision making related to a specific application; and/or

(iii)   They have any relationship or prior connection with an applicant organization, which would make it difficult for a Juror to evaluate an application objectively, may create an indirect conflict of interest.

5.6.2 Conflict of Interest for Non-Voting Members

(i)   *City of Kingston Members* (Ex-officio) – Only Jurors make decisions about which applications will be funded by the CHKF, and by what amount. City of Kingston ex-officio members may participate in the discussion of applications during the adjudication meetings, however, they are also subject to the same rules pertaining to conflict of interest as Jury members.

(ii)   *KAM Grants Officers* (Ex-officio) – KAM Grants Officers who act as resource staff to the grant committees are subject to the same rules pertaining to conflict of interest as Jury members. Grants Officers(s) are not permitted to take part in adjudication discussions unless requested to do so by the Chair.

5.6.3 Procedures for Conflict of Interest

(i) All members of the peer review CKHF Jury must abide by the Conflict of Interest rules set out in this document, and as amended from time to time.

(ii) All disclosures of conflicts of interest must be submitted in writing to the Chair of the grant committees and will be retained as part of CKHF records.

(iii) The course of action to be taken in a direct or indirect conflict of interest will be that the member will be required to leave the meeting and will therefore not be party to discussion or voting on the application in question.

(iv) If any conflict of interest becomes apparent during the discussion of the relevant application, the Chair of the grant committees will ask the juror to leave the room immediately, for the remainder of that discussion.

(v) If a member of a grant committee failed to make proper prior disclosure of his or her conflict(s) of interest, and that omission resulted in a profit or benefit to the member or member's family, the KAM Board of Directors and City of Kingston representative will review the circumstances, and if satisfied that the member failed to comply with the applicable Conflict of Interest rules, then the member may be required to compensate the City of Kingston Heritage Fund for the profit or benefit improperly realized.

(vi) The Chair of the grant committees will oversee compliance with conflict of interest rules pertaining to the adjudication meetings.

(vii) Any concerns or complaints regarding a potential conflict of interest of a member of the grant committees will be made in writing to the President of KAM's Board of Directors.

5.7 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 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 President of KAM's Board of Directors. The City of Kingston will be notified by KAM of all concerns and complaints received.

6. Heritage Fund Administration

6.1 General Principles

The Kingston Association of Museums, Art Galleries and Historic Sites (KAM) will be responsible for the overall administration of the City of Kingston Heritage Fund (CKHF), subject to the approval of the City of Kingston. This will include the following tasks:

(i)   Ensure that the administration and adjudication of applications are consistent with CKHF objectives.

(ii)   Develop the application submission process, application forms, dates and administrative criteria in accordance with the principles described in this document, including but not limited to:

    a.   determining and confirming terms of eligibility for CKHF funding; and

    b.   establishing a complaints review process.

(iii)   Appoint the peer assessment Jury for adjudicating applications, and allocating CKHF funding.

(iv)   Enact and oversee compliance with the terms of reference for the CKHF grant committees, including but not limited to:

    a.   the number of Jury members;

    b.   composition of the juries;

    c.   appointment of a Chair;

    d.   rules pertaining to conflict of interest; and

    e.   rules pertaining to length of service;

(v)   reporting requirements between the grant committees and KAM's Board of Directors.

(vi)   Provide administrative support to the grant committees, through the hiring and supervision of administrative staff.

(vii)   Promote and raise awareness of the CKHF within Kingston's heritage sector.

(viii) Facilitate grant writing mentoring for applicants, as needed.

(ix)   Distribute funding to successful applicants.

(x)   Review the CKHF Program annually, and formulate recommendations for future funding.

6.2 GOVERNANCE

(i)   The Chair of the CKHF grant committees will be assisted by the KAM Grants Officer(s) at all meetings of the grant committees.

(ii)   KAM, through the Chair of the grant committees, will ensure that all members of the grant committees are aware of the terms of this document and adhere to the rules and guidelines for adjudicating applications and allocating funds.

(iii)   The Chair of the grant committees and the Grants Officer(s) will report on the progress of the grant committees to KAM's Board on an ongoing basis.

(iv)   A written report outlining the proposed distribution of CKHF will be presented for ratification to the KAM Board of Directors, by the Chair of the grant committees.

(v)   Decisions of the Jury are final. Constructive feedback from the CKHF peer review Jury on applications will be prepared by the KAM Grants Officer(s) and reviewed by the grant

committees' Chair. When requested by the designated contact person for the applicant, this feedback will be provided in writing to both Jurors and designated contact person.

6.3 FINANCIAL CONSIDERATIONS

(i)   A separate bank account will be maintained in the name of the Kingston Association of Museums, Art Galleries, and Historic Sites, Inc., designated as the City of Kingston Heritage Fund (CKHF) Account, and used solely for receiving and disbursing grant funds.

(ii)   The signing officers on the CKHF Account will be the same as for the existing KAM operating and savings account, and will normally be the President, Vice President, Secretary and Treasurer. Two signatories are required for all CKHF grant cheques.

(iii)   Cheques will be written on the authority of the KAM Treasurer, based on the decisions of the Juries and upon approval of KAM's Board.

(iv)   The KAM bookkeeper will be the bookkeeper for the CKHF Account, and will keep records and provide reports for the Treasurer. Bookkeeping services for the CKHF Program will be paid from the KAM operating account.

(v)   Cheques on the CKHF Account will be commercially printed and the details written directly from the accounting software.

(vi)   For each operating grant approved, a cheque will be written for 100% of the total, unless otherwise stipulated by the CKHF Operating Grant Committee.

(vii)   For each project grant approved, a cheque will be written for 90% of the total, unless otherwise stipulated by the CKHF Project Grant Committee. The 10% holdback will be released when all CKHF reporting requirements have been satisfied.

(viii) Bank fees for the maintenance of the CKHF Account will be paid from the KAM operating account.

(ix)   KAM will arrange to have its annual financial report audited. The auditor for the Grants Account and related documents will be the same as the auditor for KAM accounts, and auditor's fees will be paid from the KAM operating account.

(x)   Any funding unclaimed or returned by grant recipients will be made available to future CKHF granting programs.

APPENDIX A: 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.

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.

Full 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.

Investment 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.

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.