

# City of Portland Outgoing Grants Administration Policy

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## **A. Purpose**

The City of Portland (“City”) is committed to partnering with nonprofit organizations, government agencies, local businesses, and community members to support initiatives and programs that align with the City’s mission, priorities, equity goals, and core values. Such partnerships may take the form of direct financial support in the form of grants, sponsorships, or other financial assistance (collectively referred to as “outgoing grants”).

The Outgoing Grants Administration Policy establishes the guidelines and process for awarding grants to:

- (1) Provide consistent, transparent, and equitable processes for the distribution of publicly funded grant dollars,
- (2) Support robust, shareable data about the grant program’s impact with the City’s leadership, staff, grantees, and the public, and
- (3) Ensure results are achieved by the grant recipient for the targeted demographic and community outlined in the grant.

This policy applies to outgoing grants administered by the Grants Management Division or individual City Services Areas. However, each grant may have additional policies or requirements within the program documents developed for that individual grant program.

This policy does not apply to the outgoing grants programs for the Portland Clean Energy Fund, the Portland Children’s Levy, or sub-award grants funded by external sources (e.g., federal grant funds).

## B. Definitions

1. **Grants** are defined under Portland City Code as agreements under which:
  - (1) The City provides moneys, property or other assistance, including, but not limited to, federal assistance that is characterized as a grant by federal law or regulations, loans, loan guarantees, credit enhancements, gifts, bequests, commodities or other assets;
  - (2) The assistance is provided to a recipient for the purpose of supporting or stimulating a program or activity of the recipient; and
  - (3) No substantial involvement by the City is anticipated in the program or activity of the recipient other than involvement associated with monitoring compliance with the grant conditions.
2. **Outgoing grants** are grants where financial support is given to eligible grantees to complete an objective or set of objectives that align with the City's priorities. Outgoing grants are:
  - (1) Administered by City Service Areas (Bureau/Office) from which the funding originates,
  - (2) Awarded after a competitive process unless an exception is approved by the Mayor or the Mayor's designee or there is an emergency declaration, and
  - (3) Typically, one-time funding and not recurring funding unless multi-year funding is authorized by the City Council through the appropriations process.
3. The **grantmaking process** is the system by which the City's Service Areas administer outgoing grants. The grantmaking process includes:
  - (1) Grant Program Development
  - (2) Request for Application
  - (3) Selection and Review
  - (4) Award
  - (5) Monitoring and Reporting
  - (6) Closeout
4. **Grant program documents** are the specific documents and materials that outline the purpose, provisions, criteria, goals, outcomes, and other requirements associated with a single outgoing grant.

5. **Grant agreements** are legally binding documents that outline the terms and conditions that apply to the grant.
6. **City Service Areas** (formerly Bureaus and Offices) include the:
  - (1) City Administrator's Office
  - (2) Budget and Finance
  - (3) City Operations
  - (4) Community and Economic Development
  - (5) Public Safety
  - (6) Vibrant Communities
  - (7) Public Works
7. **Webgrants** is the City's designated grant tracking software system for all outgoing grants.

### **C. Roles and Responsibilities**

1. **City Council:** The City Council approves funding for grant programs through the annual budget process, the budget monitoring process, or through a special ordinance.
2. **Mayor:** The Mayor or the Mayor's designee authorizes the City Services Areas to enter into individual grant agreements.
3. **Grants Management Division:**
  - a. Collaborate with City leadership to establish the criteria for tracking and monitoring outgoing grant funds to ensure public funds are distributed and used in alignment with the City's mission, priorities, equity goals, core values, and applicable laws and regulations.
  - b. Establish general concepts and processes for administering and managing the outgoing grant programs.
  - c. Administers Webgrants software and provides technical assistance to project managers in each Service Area.
  - d. As needed, initiates independent audits on grants to determine compliance with policy, financial, and performance requirements.
  - e. As requested, provides technical assistance to Service Areas.

- f. Periodically review and revise this policy as necessary to ensure the grants program remains aligned with the City's goals, applicable laws and regulations, and grant-management best practices.
  - g. As assigned, the Grants Management Division oversees and administers a portfolio of grant programs funded by other City Service Areas.
- 4. City Service Areas:**
- This section applies to outgoing grant programs funded by City Service Areas, including those administered by the Grants Management Division.
- a. Responsible for seeking approval for funding allocation for their outgoing grants program.
  - b. Responsible for seeking the appropriate approval for grant agreements
  - c. Responsible for administering all components of the grantmaking process.
  - d. Required to use templates, forms, and tools developed by the Grants Management Division.
  - e. Must collaborate with centralized City data and equity analysts to determine grant-related data collection and performance measures requirements for each program.
  - f. Must provide project or program management capacity to support grantees throughout the lifecycle of the grant.
  - g. Coordinate with the Grants Management Division on all independent audits or requests for data.

#### **D. Eligibility**

The City may award grant funds to an individual, a for-profit organization, a nonprofit organization, a governmental agency, or a fiscal sponsor acting on behalf of an individual or organization that meets the following criteria:

1. Grantees must agree to abide by the terms and conditions outlined in the grant agreement for the entirety of the grant's duration. These obligations include, but are not limited to:
  - a. When required by law, grantees must maintain an up-to-date business registration with the Oregon Secretary of State's office.
  - b. Maintain levels of insurance as articulated by the grant agreement.

- c. Comply with any data collection or audit requirements.
  - d. Comply with additional provisions that ensure the prudent use of publicly funded grant programs.
2. Grantees must agree to ensure compliance with legal requirements related to nondiscrimination and nondiscriminatory use of public funds, including Title VI of the Civil Rights Act of 1964, Title II of the Americans with Disabilities Act, and all other applicable federal, state, and local statutes, regulations, directives, and guidance including City of Portland policy.
3. For grants over \$50,000, potential grantees must undergo a City's internal risk assessment. Grantees not deemed low risk may be required to agree to additional provisions in the grant agreement (e.g., maintain a fiscal sponsor).
4. An applicant is ineligible if the applicant:
  - a. Is designated as a disqualified charity by the Oregon Department of Justice,
  - b. Proposes projects or activities that do not benefit the City of Portland or the residents thereof,
  - c. Is an organization or group that engages in unlawful discriminatory behavior toward any protected class, including activities that exclude participation, deny benefits or services, or discriminate based on race, color, national origin, limited English proficiency, disability, age, sex, religion, sexual orientation, gender identity, or familial status.

## **E. Conflict of Interest**

Conflicts of interest or the appearance of conflicts of interest can damage the reputation and credibility of the City's outgoing grants program. The project manager for each grant-funded program must ensure that individuals involved with the allocation of grant awards disclose a potential conflict as outlined in the City's conflict of interest policy. This can be achieved through appropriate notices in program documents, disclosure forms, language within grant agreements or other tools developed by the Grants Management Division.

## **F. Grantmaking Process**

The following six-step process will ensure that City grantmaking adheres to a uniform processes throughout the lifecycle of a grant. The details of each grant program will be determined by the Service Area's leadership. Grant program policies should be documented and codified in the Service Area's policy documents.

## 1. Grant Program Development

A grant program is comprised of the specific documents and materials that outline the purpose, provisions, criteria, goals, outcomes, and other requirements associated with a single outgoing grant. The City should avoid issuing grants to assist agencies in meeting ongoing service delivery needs, and program outcomes should be achieved by the conclusion of the grant term.

Components of a grant program include, at minimum, the following items:

- a. The Service Area responsible for grant administration will develop program documents that outline the grant's purpose and how it aligns with the City's priorities. The program document must include (if applicable) the following information:
  - i. Source of funding, grant term, and anticipated fund distribution schedule,
  - ii. The intended outcome of the grant program and how it aligns with the City's mission, priorities, equity goals, and core values,
  - iii. Eligibility, application, and selection criteria for grant applicants,
  - iv. Performance measures, reporting, and evaluation criteria,
  - v. Compliance provisions (e.g., risk assessment tools, fiscal sponsorship stipulations, data and document retention, and insurance requirements),
  - vi. Name of project manager who will manage the grant throughout its lifecycle and any other resources the City Service Area will allocate to the program, and
  - vii. Documentation for any approval of exceptions to the outgoing grants Administration or other applicable City policies.

These materials are will be reviewed by the Grants Management Division to ensure compliance with these policies.

- b. To support transparent and accountable grant performance measures throughout the grant's lifecycle, the Service Area must partner with centralized grants data and equity analysts to ensure the program documents align with the **Community Grants Reporting Guidance**, which includes:
  - i. Design and review initial performance measures, other reporting requirements, and civil rights requirements in grant application materials,

- ii. Review and finalize performance measures and other reporting requirements, including civil rights compliance in grant agreements, and
  - iii. Review performance measures and other reporting data management and entry plans into Webgrants.
- c. City Service Areas must ensure the grant program complies with legal requirements related to nondiscrimination and nondiscriminatory use of public funds, including Title VI of the Civil Rights Act of 1964, Title II of the Americans with Disabilities Act, and all other applicable federal, state, and local statutes, regulations, directives, and guidance including City of Portland policy.

**2. Request for Application (RFA)**

Outgoing grants are typically awarded through a competitive process. The project manager administering the grant must develop and publish clearly defined and accessible application guidelines and materials for grant applicants.

- a. At minimum, as part of the application for grant funds, an applicant must provide the following information:
  - i. Type of organization: Non-profit or business,
  - ii. Contact and business entity information,
  - iii. Number of full-time equivalents (number of staff),
  - iv. Demographic information for the applicant and, if applicable, demographic information on the applicant's staff, board of directors, executive leadership, and/or ownership,
  - v. Percent of board or leadership who identify as Black, Indigenous, or Person of Color, and
  - vi. Status on any other active or grant funds or contracts received from the City.
- b. In addition, the grant Program Manager may also request the following information:
  - i. If the grant is considered initial funding for an ongoing program, the grantee must identify an alternative funding plan for when the grant term ends,

- ii. A full list of the Board of Directors,
  - iii. A copy of the organization's current, board-approved operating budget,
  - iv. The organization's most recent financial statements: Balance Sheet and Income Statement/Profit & Loss or a Statement of Financial Position and Statement of Activities,
  - v. The organization's audited financial statements for the most recent two years (organizations with annual budgets of \$500,000 and above should provide audited financial statements), and
  - vi. Any other applicant information the City deems necessary to improve transparency and accountability.
- c. At minimum, the RFA Guidelines provided to applicants must include the following information:
- i. Application deadlines,
  - ii. Eligibility requirements,
  - iii. Evaluation and selection process,
  - iv. Program goals and outcomes,
  - v. Performance measure, reporting, and data collection requirements throughout the lifecycle of the grant,
  - vi. Funding distribution schedule,
  - vii. Data, documentation, and retention requirements, and
  - viii. How to request technical assistance throughout the application and selection process.
- d. To help inform the community about City-funded grant opportunities, project managers must conduct outreach activities in accordance with the expectations of their City Service Area. These activities must be documented. All grant opportunities will be posted on the City's central website for outgoing grants.

### **3. Selection Process**

Typically, grantees are selected through a competitive review and selection process. The project manager organizes a selection committee that is responsible for evaluating grant applications and recommending grant recipients.

- a. At a minimum, selection committee members must:
  - i. Consist of three or more qualified individuals (community members and/or staff) from diverse backgrounds,  
  
Provide demographic and other data consistent with the **Community Grants and Contracting Reporting Guidance** (complete a conflict-of-interest disclosure form), and
  - ii. Maintain confidentiality throughout the review and selection process.
- b. The selection committee will review each application and evaluate the proposals using the criteria established by the grant's program documents. At the end of the review process, the committee will recommend the applicant or set of applicants who are deemed qualified to be awarded the grant. Awards are contingent on due diligence review and approval from the Mayor or the Mayor's designee.
- c. The project manager must conduct due diligence activities to verify that the selected applicant still meets the eligibility requirements for the grant. This task includes completing a risk assessment for grants over \$50,000, verifying business or charitable status, and any other criteria outlined in the program documents.

#### **4. Awarding Grants**

After a grantee is selected and due diligence has been completed, the City Service Area must enter into a formal grant agreement with the grantee that outlines the terms, conditions, compliance and reporting requirements, and expected outcomes that identify and demonstrate how the grant meets community benefits that align with City values and priorities.

- a. As part of the development of the grant agreement, the project manager must:
  - i. Draft the grant agreement utilizing the uniform City grant template provided by the Grants Management Division,
  - ii. Draft a detailed scope of work outlining the grant requirements, and the City Attorney's Office, the Mayor or the Mayor's designee, and the grantee must approve the grant agreement,

- iii. Review the **Data and Equity Reporting Guidance** for more details on designing and detailing reporting requirements in the grant agreement, and
  - iv. Work with the grantee to review the grant agreement and data reporting expectations before the agreement is executed and work begins.
- b. All parties in the Agreement must approve amendments altering the scope of work or terms of the grant agreement.
  - c. Amendments to grants increasing the grant award must be funded in the current fiscal year budget or appropriated by the City Council through an ordinance.

**5. Monitoring and evaluation**

The City Service Area will implement a monitoring and project evaluation process to ensure that grant funds are used for their intended purpose in compliance with the grant agreement. The project manager is responsible for:

- a. Scheduling check-ins throughout the grant period to help answer questions and resolve issues,
- b. Reviewing the grantee's progress toward completing the benchmarks outlined in the scope of work and issuing payment in accordance with the provisions of the grant agreement,
- c. Monitoring the grant program and grantees comply with legal requirements related to nondiscrimination and nondiscriminatory use of public funds, including Title VI of the Civil Rights Act of 1964, Title II of the Americans with Disabilities Act, and all other applicable federal, state, and local statutes, regulations, directives, and guidance including City of Portland policy, and
- d. Partnering with the centralized data and equity analysts that support the City's outgoing grants program. These analysts will help evaluate the outcomes across grants and help improve the City's understanding of the grantee's progress on City-wide budget and equity priorities, goals, and core values.

**6. Closeout**

The Grants Management Division is responsible for developing a process and procedure guideline as part of the grant closeout process (e.g., final payment, data collection, final report). The project manager will work with the grantee to ensure these closeout items are completed in accordance with the provision of the grant agreement.

**G. Compliance and Disputes**

The Grants Management Division will develop process and procedure guidelines to address grant agreement non-compliance and dispute resolution issues.