

TO:	CHAIR AND MEMBERS STRATEGIC PRIORITIES AND POLICY COMMITTEE MEETING ON MAY 15, 2017
FROM:	MARTIN HAYWARD MANAGING DIRECTOR, CORPORATE SERVICES AND CITY TREASURER, CHIEF FINANCIAL OFFICER & CITY MANAGER
SUBJECT:	COUNCIL POLICY MANUAL REVIEW OF CHAPTERS 1,2,3,4,6,8

RECOMMENDATION

That, on the recommendation of the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer & City Manager, the following actions be taken with respect to the Council Policy Manual Review:

- a) the attached proposed by-law (Appendix B) **BE INTRODUCED** at the Municipal Council Meeting to be held on May 16, 2017 to revoke and repeal the following Council policies related to: The Cultural Policy for the Arts, FCM Annual Race Relations Award, Bicycle Friendly Award, Building on Old Landfill Sites, Mobile Homes, Moving Residential Buildings, Permits for Lots without Electric Services, Demolition Applications for Buildings in the Heritage Resources Inventory, House Moving Permits, Smoke Free Workplace Policy, Charitable Organizations and Community Groups Involved in Fundraising Activities for City-Owned Facilities, Execution of Documents Prior to Admittance, Termination of Residence, Funeral and Burial Expenses, Inventory Prior to Departure, Refund from Residents' Monthly Income, Minnie Rickard Bequest Fund, Inspections by Committee of Management, Purchasing of Items in Excess of \$500.00, Execution of Will by Residents, Administration of Mortgages, Personal Trust Funds, Admission Policy, Opening Residents' Mail, Committee of Management, Discharge Policy, Use of Low Flow Oxygen, Holding of Beds, Level of Treatment Intervention & Health Care Directive, Payroll Deduction for Canada Savings Bonds, Capital Budget Appropriation Policy, Processing of Accounts Prior to Current Budget Approval, Capital Budget Program, Introduction of New Capital Works Mid-Year, Financial Relationship with Library Board, Industrial Oversizing Reserve Fund, Impact of Appropriations to Capital Reserve Funds, and Major Institutional Capital Grants;

- b) the attached proposed by-laws (Appendix C) **BE INTRODUCED** at the Municipal Council Meeting to be held on May 16, 2017 to revoke, repeal and replace the following Council policies related to: Bravery Awards, Athletic Travel Grants, Queen Elizabeth Scholarship, Mayor's New Year's Honour List, Civic Luncheons and Receptions, Diversity, Race Relations and Inclusivity Award, Methane Gas, Unprotected Excavations at Construction Sites, Requiring Building Permits for Buildings Constructed More Than One Year Prior, Tours onto 12th Floor Deck, Animals in City Hall, Use of Cafeteria as Staff Facility, Soliciting Funds in City Hall, Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements, City of London Days at the Budweiser Gardens, Use of Cell Phones and Pagers in Council Chambers – Prohibited, Use of Civic Square by Centennial Hall Events, Grants to Centennial Hall, Reduced Rental Rates for Non-Profit Groups, Objectives of Centennial Hall, Using Centennial Hall for City Sponsored Events, Lessee Protection and Non-Competitive Clauses, Releasing of Assets Once Residents' Costs Paid, Funeral Expenses for Indigent Residents, Interest from Bequest Fund, Preferred Accommodation Charges, London Community Grants Policy, Investment Policy, Trust Funds, Donations Made for Non-Profit Organizations, Security Policy Regarding Letters of Credit, Identification of Operating Surpluses – Boards and Commissions, Lease Financing Policy, Multi-Year Budget Policy, Surplus/Deficit Policy, Assessment Growth Policy, and Debt Management Policy; and

- c) the attached proposed by-laws (Appendix D) **BE INTRODUCED** at the Municipal Council Meeting to be held on May 16, 2017 to adopt the following new Council policies:
- a) Corporate Plaques and Recognitions Policy;
 - b) Outstanding London Ambassador Award Policy;
 - c) Community Arts Investment Program Policy; and
 - d) Capital Budget and Financing Policy.

PREVIOUS REPORTS PERTINENT TO THIS MATTER

- Item 5, Strategic Priorities and Policy Committee, March 1, 2017, *Council Policy Manual Review*
- Item 19, Corporate Services Committee, December 13, 2016, *Section 18(14) Council Policy Manual*

BACKGROUND

The Council Policy Manual (the “Manual”) is a consolidation of policies that have been adopted (and in some cases, amended) by the Municipal Council of the City of London over a number of years. The policies contained in the Manual vary in nature, scope and format. It is recognized that the Manual is out of date and requires modernization. Municipal Council approved a 3 step approach to update the Manual in March 2017. This report is the first of five reports scheduled to come forward to SPPC as part of Step #2 of the update process.

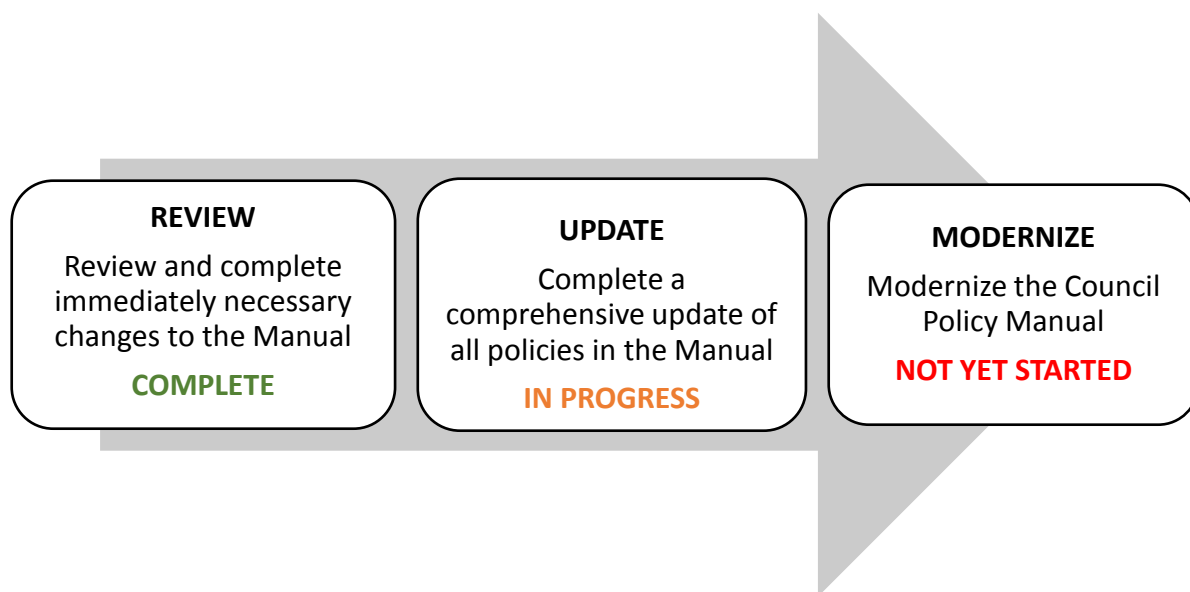
On March 2, 2017 the Municipal Council resolved:

That, on the recommendation of the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer & Acting City Manager and with the concurrence of the Senior Leadership Team, the following actions be taken with respect to updating the Council Policy Manual:

- a) *the process for completing a comprehensive update to the current Council Policy Manual, as detailed in this report, **BE ENDORSED**;*
- b) *subsequent to the completion of the comprehensive update to the current Council Policy Manual noted above, the Governance Working Group **BE REQUESTED** to undertake an evaluation of the Council Policy Manual and provide strategic direction to the Municipal Council on steps the Civic Administration should take to modernize the Council Policy Manual; and*
- c) *any reports related to a) and b) above, **BE SUBMITTED** through the Strategic Priorities and Policy Committee; it being understood that upon completion of the actions noted in a) and b), above, any future policy amendments will come forward through the Standing Committee that has jurisdiction over the subject area of the policy.*

Manual Update Process

As noted above, the process for updating the Manual includes 3 steps. Step #1, which is now complete, involved a review of policies that required immediate changes and action to have those changes made. Step #2, which this report addresses, involves a comprehensive update to all policies in the Manual such all Council policies are updated and available to the public by the end of August, 2017. Step #3, which has yet to be started, will involve modernizing the Manual, based on strategic direction from Council about what should be included in the Manual and how it should be structured.



Step #2 – Comprehensive Update to the Manual (May – August)

The intent of Step #2 is to clean up the Council policies in order to provide Council and the Governance Working Group with complete and up-to-date policies to work with during the modernization phase. This Step will primarily address “housekeeping” issues and policies that are out of date.

The scope of the policy updates in this Step includes: revocation of policies that have become redundant due to new legislation or current practices; policies that require technical updates such as committee references or job titles; policies that require major amendments to reflect current practices; and new policies that are required to go forward during this time period in order to meet business needs.

Step #3 – Modernization - Not Yet Started

Once Step #2 is completed, the modernization phase will begin. This phase will involve a comprehensive evaluation of Council policies by the Governance Working Group. The scope of this work will be determined by Council but could include:

- recommendations for restructuring the Council Policy Manual
- recommendations for a Council Policy review process
- identification of policy gaps and recommendations for new policies
- recommendations to improve policy consistency
- review of policies with a gender and diversity lens

A coordinated approach to modernizing the Manual will assist with policy consistency and the development of a more user-friendly document that meets the current needs of the Corporation and the public it serves.

This report provide the first grouping of reviewed policy chapters for Council’s consideration.

DISCUSSION

There are currently over 400 policies included in the Manual. The policies vary in nature, scope and format, with some being technically complicated or operationally specific. Given the number of policies, varying types of subject matter and different levels of specificity, it is recognized that reviewing the policy updates in this report could be demanding for the reader. As the intent of Step #2 is not to make substantial policy changes, but to primarily “cleanup” policies, the reader may wish to focus on policies receiving major amendments and proposed new policies.

This report covers the 82 policies included in Chapters 1, 2, 3, 4, 6, and 8. Of those 82 policies:

- 38 are being recommended for repeal;
- 17 are recommended as no change;
- 15 are recommended for technical amendment;
- 8 are recommended for major amendment; and
- 4 new policies are being recommended.

Review Process:

Each policy was reviewed by a Working Group consisting of at least one representative from each Service Area. Working Group representatives collaborated on policy updates, developed policy update rationale, and prepared policy amendments. When necessary, representatives engaged

Legal Services, ITS or other Service Areas for opinion on policy updates. Prior to submission, Managing Directors were requested to sign off on all policy updates led by their respective Service Areas. Following sign off from Managing Directors, a full review was completed by both the City Clerk's Office and the City Manager's Office.

Legislative Process:

In order to create a starting point for all policies going forward, the legislative process will require the following steps, as recommended in this report:

1. Repealing and revoking all policies
2. Reinstating policies that require no change
3. Replacing policies that require technical amendments or major revisions with updated policies

In a few instances, the process may necessarily require reconsideration of policies that have been amended within the last 12 months.

Report Format:

This report is organized into 3 main sections including: a Reference Chart (Appendix 'A'), policy update by-laws (Appendices 'B-D'), and policy updates (Appendix E). Policy updates are presented in numerical order as reflected in the current Manual.

1. Appendix 'A': Reference Chart

Appendix 'A' is a Reference Chart outlining the type of change recommended for each policy. It is intended to provide a summary of recommendations and could be used as a quick reference guide to find policy updates of interest. The following definitions aid in interpreting the chart:

- **Replace** (no change) means that the no changes are recommended but replacement is required to ensure a defined starting point for the policy
- **Replace** (technical) means that a technical amendment is recommended
- **Replace** (major) means that a major amendment is recommended
- **Repeal** means that it is recommended the policy be repealed as it is no longer applicable to meet corporate needs required
- **New Policy** means that a new policy is being recommended
- **No Change** means that no changes are recommended and this policy was recently amended under the new numbering protocol

2. Appendix 'B-D' By-laws

Appendices 'B-D', include the proposed by-laws that will put the updated policies into force and effect.

3. Appendix 'E': Policy Updates:

Each section will include the following information for all recommended policy updates:

1. the current policy language;
2. the type of change being recommended;
3. the Service Area responsible;
4. the rationale for all policy updates; and,
5. the new policy language being recommended, where applicable.

For technical amendments, the ~~strike through~~ feature has been used to indicate proposed deletions and **bold underlined text** reflects revised wording.

The reader will notice varying levels of detail included in the rationale. It is anticipated that Council will provide feedback as to the preferred format for future phases of the update process.

CONCLUSION

Administration continues to review the Manual for suggested changes to existing policies as part of Step #2 of the Council Policy Manual Review Process. This report is the first of five reports scheduled to be submitted for Council review and consideration in the coming months. It is anticipated that Step #2 will be completed by the end of August 2017.

Modernization of the Manual is Step #3 of this process and will begin upon completion of Step #2.

PREPARED BY:	REVIEWED BY:
KRISTEN PAWELEC SPECIALIST, COMMUNITY REPORTING AND PLANNING	KATE GRAHAM DIRECTOR, COMMUNITY AND ECONOMIC INNOVATION
RECOMMENDED BY:	
MARTIN HAYWARD MANAGING DIRECTOR, CORPORATE SERVICES AND CITY TREASURER, CHIEF FINANCIAL OFFICER & CITY MANAGER	

**CC: Senior Leadership Team
Operations Management Team
C. Saunders, City Clerk**

APPENDIX 'A': Reference Chart:

Policy Number	Policy Title	Recommended Change
Awards and Recognition		
1(1)	Bravery Awards	Replace (technical)
1(2)	Athletic Travel Grants	Replace (technical)
1(3)	Queen Elizabeth Scholarship	Replace (technical)
1(4)	Mayor's New Year's Honour List	Replace (technical)
1(5)	Civic Luncheons and Receptions	Replace (major)
1(6)	Cultural Policy for the Arts	Repeal
1(7)	Repealed March 20, 2012	
1(8)	FCM Annual Race Relations Award	Repeal
1(9)	Bicycle Friendly Award	Repeal
1(10)	Diversity, Race Relations and Inclusivity Award	Replace (technical)
	Corporate Plaques and Recognitions Policy	New Policy
	Outstanding London Ambassador Award Policy	New Policy
Building Regulations		
2(1)	Building on Old Landfill Sites	Repeal
2(2)	Mobile Homes	Repeal
2(3)	Moving Residential Buildings	Repeal
2(4)	Permits for Lots without Electric Services	Repeal
2(5)	Methane Gas	Replace (major)
2(6)	Unprotected Excavations at Construction Sites	Replace (technical)
2(7)	Demolition Applications for Buildings in the Heritage Resources Inventory	Repeal
2(8)	House Moving Permits	Repeal
2(9)	Requiring Building Permits for Buildings Constructed More than One Year Prior	Replace (no change)
City Hall and Other Municipal Buildings		
3(1)	Tours onto 12 th Floor Deck	Replace (technical)
3(2)	Animals in City Hall	Replace (major)
3(3)	Use of Cafeteria as a Staff Facility	Replace (technical)
3(4)	Soliciting Funds in City Hall	Replace (major)
3(5)	Smoke free Workplace Policy	Repeal
3(6)	Charitable Organizations and Community Groups Involved in Fundraising Activities for City Owned Facilities	Repeal
3(7)	Naming/Re-Naming or Dedicating of Municipal Property, Buildings and Park Elements	Replace (technical)
3(8)	City of London Days at the Budweiser Gardens	Replace (technical)
3(9)	Use of Cell Phones and Pagers in Council Chambers – Prohibited	Replace (major)
3(10)	Repealed December 19 2016	
Centennial Hall		
4(1)	Use of Civic Square by Centennial Hall Events	Replace (technical)
4(2)	Repealed May 31, 2016	
4(3)	Repealed May 31, 2016	
4(4)	Repealed May 31, 2016	
4(5)	Repealed May 31, 2016	
4(6)	Grants to Centennial Hall	Replace (no change)
4(7)	Reduced Rental Rates for Non-Profit Groups	Replace (no change)
4(8)	Objectives of Centennial Hall	Replace (no change)
4(9)	Using Centennial Hall for City Sponsored Events	Replace (no change)
4(10)	Lessee Protection and Non-Competitive Clauses	Replace (no change)
4(11)	Repealed May 31, 2016	
Dearness Home		
6(1)	Execution of Documents Prior to Admittance	Repeal
6(2)	Termination of Residence	Repeal
6(3)	Funeral and Burial Expenses	Repeal
6(4)	Inventory Prior to Departure	Repeal
6(5)	Refund from Residents' Monthly Income	Repeal
6(6)	Minnie Rickard Bequest Fund	Repeal
6(7)	Inspections by Committee of Management	Repeal
6(8)	Purchasing of Items in Excess of \$50000	Repeal
6(9)	Releasing of Assets Once Residents' Costs Paid	Replace (technical)
6(10)	Execution of Will by Residents	Repeal
6(11)	Funeral Expenses for Indigent Residents	Replace (no change)

6(12)	Interest from Bequest Fund	Replace (no change)
6(13)	Administration of Mortgages	Repeal
6(14)	Personal Trust Funds	Repeal
6(15)	Admission Policy	Repeal
6(16)	Opening Residents' Mail	Repeal
6(17)	Committee of Management	Repeal
6(18)	Discharge Policy	Repeal
6(19)	Use of Low Flow Oxygen	Repeal
6(20)	Preferred Accommodation Charges	Replace (major)
6(21)	Holding of Beds	Repeal
6(22)	Level of Treatment Intervention & Health Care Directive	Repeal
Financial Services		
8(1)	Payroll Deduction for Canada Savings Bonds	Repeal
8(2)	Repealed December 19, 2016	
8(3)	Repealed March 22, 2016	
8(4)	Capital Budget Appropriation Policy	Repeal
8(5)	Accounts Receivable and Collections Policy	No change
8(6)	Processing of Accounts Prior to Current Budget Approval	Repeal
8(7)	Repealed March 22, 2016	
8(8)	Capital Budget Program	Repeal
8(9)	Introduction of New Capital Works Mid-Year	Repeal
8(10)	Repealed December 19, 2016	
8(11)	London Community Grants Policy	Replace (no change)
8(12)	Investment Policy	Replace (technical)
8(13)	Financial Relationship with Library Board	Repeal
8(14)	Repealed March 22, 2016	
8(15)	Repealed March 22, 2016	
8(16)	Trust Funds	Replace (major)
8(17)	Donations Made for Non-Profit Organizations	Replace (major)
8(18)	Industrial Oversizing Reserve Fund	Repeal
8(19)	Repealed March 22, 2016	
8(20)	Impact of Appropriations to Capital Reserve Funds	Repeal
8(21)	Royal Canadian Legion Branch Property Tax Relief Program Funding	No Change
8(22)	Major Institutional Capital Grants	Repeal
8(23)	Security Policy Regarding Letters of Credit	Replace (technical)
8(24)	Repealed December 19, 2016	
8(25)	Identification of Operating Surpluses – Boards and Commissions	Replace (no change)
8(26)	Repealed March 22, 2016	
8(27)	Lease Financing Policy	Replace (technical)
8(28)	Multi-Year Budget Policy	Replace (no change)
8(29)	Surplus/Deficit Policy	Replace (no change)
8(30)	Assessment Growth Policy	Replace (no change)
8(31)	Debt Management Policy	Replace (no change)
8(32)	Sale of Major Assets Policy	No Change
	Community Arts Investment Program Policy	New Policy
	Capital Budget and Financing Policy	New Policy

Appendix 'B'

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policies related to the Cultural Policy for the Arts, FCM Annual Race Relations Award, Bicycle Friendly Award, Building on Old Landfill Sites, Mobile Homes, Moving Residential Buildings, Permits for Lots without Electric Services, Demolition Applications for Buildings in the Heritage Resources Inventory, House Moving Permits, Smoke Free Workplace Policy, Charitable Organizations and Community Groups Involved in Fundraising Activities for City-Owned Facilities, Execution of Documents Prior to Admittance, Termination of Residence, Funeral and Burial Expenses, Inventory Prior to Departure, Refund from Residents' Monthly Income, Minnie Rickard Bequest Fund, Inspections by Committee of Management, Purchasing of Items in Excess of \$500.00, Execution of Will by Residents, Administration of Mortgages, Personal Trust Funds, Admission Policy, Opening Residents' Mail, Committee of Management, Discharge Policy, Use of Low Flow Oxygen, Holding of Beds, Level of Treatment Intervention & Health Care Directive, Payroll Deduction for Canada Savings Bonds, Capital Budget Appropriation Policy, Processing of Accounts Prior to Current Budget Approval, Capital Budget Program, Introduction of New Capital Works Mid-Year, Financial Relationship with Library Board, Industrial Oversizing Reserve Fund, Impact of Appropriations to Capital Reserve Funds, and Major Institutional Capital Grants.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policies pertaining to the Cultural Policy for the Arts, FCM Annual Race Relations Award, Bicycle Friendly Award, Building on Old Landfill Sites, Mobile Homes, Moving Residential Buildings, Permits for Lots without Electric Services, Demolition Applications for Buildings in the Heritage Resources Inventory, House Moving Permits, Smoke Free Workplace Policy, Charitable Organizations and Community Groups Involved in Fundraising Activities for City-Owned Facilities, Execution of Documents Prior to Admittance, Termination of Residence, Funeral and Burial Expenses, Inventory Prior to Departure, Refund from Residents' Monthly Income, Minnie Rickard Bequest Fund, Inspections by Committee of Management, Purchasing of Items in Excess of \$500.00, Execution of Will by Residents, Administration of Mortgages, Personal Trust Funds, Admission Policy, Opening Residents' Mail, Committee of Management, Discharge Policy, Use of Low Flow Oxygen, Holding of Beds, Level of Treatment Intervention & Health Care Directive, Payroll Deduction for Canada Savings Bonds, Capital Budget Appropriation Policy, Processing of Accounts Prior to Current Budget Approval, Capital Budget Program, Introduction of New Capital Works Mid-Year, Financial Relationship with Library Board, Industrial Oversizing Reserve Fund, Impact of Appropriations to Capital Reserve Funds, and Major Institutional Capital Grants.

NOW THEREFORE the Municipal Council of The Corporation of the City of London

enacts as follows:

1. Any policies of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to the Cultural Policy for the Arts, FCM Annual Race Relations Award, Bicycle Friendly Award, Building on Old Landfill Sites, Mobile Homes, Moving Residential Buildings, Permits for Lots without Electric Services, Demolition Applications for Buildings in the Heritage Resources Inventory, House Moving Permits, Smoke Free Workplace Policy, Charitable Organizations and Community Groups Involved in Fundraising Activities for City-Owned Facilities, Execution of Documents Prior to Admittance, Termination of Residence, Funeral and Burial Expenses, Inventory Prior to Departure, Refund from Residents' Monthly Income, Minnie Rickard Bequest Fund, Inspections by Committee of Management, Purchasing of Items in Excess of \$500.00, Execution of Will by Residents, Administration of Mortgages, Personal Trust Funds, Admission Policy, Opening Residents' Mail, Committee of Management, Discharge Policy, Use of Low Flow Oxygen, Holding of Beds, Level of Treatment Intervention & Health Care Directive, Payroll Deduction for Canada Savings Bonds, Capital Budget Appropriation Policy, Processing of Accounts Prior to Current Budget Approval, Capital Budget Program, Introduction of New Capital Works Mid-Year, Financial Relationship with Library Board, Industrial Oversizing Reserve Fund, Impact of Appropriations to Capital Reserve Funds, and Major Institutional Capital Grants are hereby revoked.

2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts Council policies pertaining to the Cultural Policy for the Arts, FCM Annual Race Relations Award, Bicycle Friendly Award, Building on Old Landfill Sites, Mobile Homes, Moving Residential Buildings, Permits for Lots without Electric Services, Demolition Applications for Buildings in the Heritage Resources Inventory, House Moving Permits, Smoke Free Workplace Policy, Charitable Organizations and Community Groups Involved in Fundraising Activities for City-Owned Facilities, Execution of Documents Prior to Admittance, Termination of Residence, Funeral and Burial Expenses, Inventory Prior to Departure, Refund from Residents' Monthly Income, Minnie Rickard Bequest Fund, Inspections by Committee of Management, Purchasing of Items in Excess of \$500.00, Execution of Will by Residents, Administration of Mortgages, Personal Trust Funds, Admission Policy, Opening Residents' Mail, Committee of Management, Discharge Policy, Use of Low Flow Oxygen, Holding of Beds, Level of Treatment Intervention & Health Care Directive, Payroll Deduction for Canada Savings Bonds, Capital Budget Appropriation Policy, Processing of Accounts Prior to Current Budget Approval, Capital Budget Program, Introduction of New Capital Works Mid-Year, Financial Relationship with Library Board, Industrial Oversizing Reserve Fund, Impact of Appropriations to Capital Reserve Funds, and Major Institutional Capital Grants are hereby repealed.

3. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix 'C'

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Bravery Awards and replace it with a new Council policy entitled Bravery Award Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Bravery Awards and replace it with a new Council policy entitled Bravery Award Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Bravery Awards is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Bravery Awards is hereby repealed.
3. The policy entitled "Bravery Award Policy", attached hereto as Appendix "C(1)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix C(1)

Bravery Award Policy

Definitions:

For the purposes of this policy,

"bravery" shall be defined as "courage, valour, heroism, fearlessness, daring".

"courage" shall be defined as meaning the quality of meeting danger or opposition with fearlessness; dealing with anything recognized as dangerous, difficult or painful, instead of withdrawing from it.

Application:

1. The facts and circumstances surrounding an act of bravery shall be reported to the appropriate Standing Committee by the Chief of Police and/or the Fire Chief and/or other public officials having knowledge of the situation with a recommendation that a Bravery Award be issued.
2. A Bravery Award may be granted posthumously.
3. The recipient of a Bravery Award, or their representative, shall be invited to a regular meeting of the City Council for presentation of the Award by the Mayor or their representative.
4. The Bravery Award shall take the form of an appropriately worded certificate.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Athletic Travel Grants and replace it with a new Council policy entitled Athletic Travel Grants.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Athletic Travel Grants and replace it with a new Council policy entitled Athletic Travel Grants;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Athletic Travel Grants is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Athletic Travel Grants is hereby repealed.
3. The policy entitled "Athletic Travel Grants", attached hereto as Appendix "C(2)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(2)"

Athletic Travel Grants

That a policy be established whereby the City will consider giving traveling grants to local amateur sporting teams or individuals who win championships in the current year, or the immediately preceding year, or attain standards prescribed by the Provincial and/or National and/or International governing body, which qualify them to enter Provincial, National or International championship competitions in sports under the auspices of other than educational institutions, subject to the following guidelines all on the understanding that the Athletic Travel Grants Program is only a supportive grants program and not intended to wholly support an individual or team for travel expenses in quest of a championship and, in fact, it may be prudent to reject an application if it were proven that an individual or team had total financial support for their championship play:

- a) the amount to be provided for each team member or individual competitor shall be \$100.00 (providing the event is being held at a location beyond a 160.9 km (100 mile) distance from the City of London);
- b) the amount to be provided to any team shall not exceed \$500.00;
- c) subject to the \$500.00 limitation, one coach per team shall be eligible for the travel grant;
- d) in the case of individualistic sporting events, such as swimming, diving, track and field, boxing, wrestling, skating, rowing, one coach shall be eligible for the Travel Grant, to accompany the individual, or group of individuals in one sport (e.g. - two or more swimmers attending the same event - one coach; eight track and field athletes attending the same event - one coach.)
- e) applications must be filed prior to the event or where the event immediately follows the trials or qualifying events, applications must then be filed within two weeks of achieving the championship or prescribed standards;
- f) the Managing Director, Parks and Recreation is authorized to approve the payment of grants to applicants whose applications are within the above guidelines and on the recommendation of the Administrator of Recreation Services provided that sufficient funds are available in the Current Budget;
- g) the Managing Director, Parks and Recreation will report only exceptions to the appropriate Standing Committee of Council; and
- h) should the funds budgeted in any year for Athletic Travel Grants be depleted, the Managing Director, Parks and Recreation shall be authorized to refuse any further applications subject to the submission of a list of the refused applications to the appropriate Standing Committee of Council at its last meeting in November of each year.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Queen Elizabeth Scholarships and replace it with a new Council policy entitled Queen Elizabeth Scholarships.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Queen Elizabeth Scholarships and replace it with a new Council policy entitled Queen Elizabeth Scholarships;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Queen Elizabeth Scholarships is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Queen Elizabeth Scholarships is hereby repealed.
3. The policy entitled "Queen Elizabeth Scholarships", attached hereto as Appendix "C(3)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(3)"

Queen Elizabeth Scholarship Policy

Two (2) Queen Elizabeth Scholarships, in the amount of \$2,000 each, shall be granted by the City of London in each school year, for admission to any University or College, to the two (2) graduating secondary school students with the highest scholastic achievement.

Criteria

1. Achievement shall be based on the average of the student's best six subjects in their graduating year, carried to two decimal points.
2. The student must meet the following residency requirements:
 - a) have lived in the City of London for at least three years and have attended a secondary school within the City of London for his/her three final years of secondary school education;
 - b) have lived in the City of London for at least three years and have attended a secondary school outside the limits of the City of London for their final three years of secondary school education, provided the Thames Valley District School Board or the London District Catholic School Board has paid for their attendance at such school; or
 - c) have resided outside the limits of the City of London and have attended a secondary school within the City of London for their three final years of secondary school education, provided their parents or guardians either own or rent property within the City of London.

Application:

1. Applications for the Queen Elizabeth Scholarship shall be completed and returned to the Thames Valley District School Board or the London District Catholic School Board prior to July 15 in any year;
2. The Director of Education for the Thames Valley District School Board (or their delegate) and the Director of Education for the London District Catholic School Board (or their delegate) shall meet prior to the last Monday in July of each year, for the purpose of determining the names of the applicant students who meet the terms of the Scholarship, and the names of three alternate applicant students, in order of merit; such names to be submitted to the appropriate Standing Committee of City Council for consideration at the first meeting of the appropriate Standing Committee falling on or after the last Monday in July.
3. The appropriate Standing Committee shall recommend the names of the annual recipients of the Queen Elizabeth Scholarship to City Council for consideration at its first meeting after the successful applicants have been determined by the said Committee.
4. The City Clerk shall arrange for the payment of the Queen Elizabeth Scholarship in a manner which is mutually acceptable to the City and the recipient.
5. The recipients will receive a certificate stating that they have been awarded a Queen Elizabeth Scholarship in the current year.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Mayor's New Year's Honour List and replace it with a new Council policy entitled Mayor's New Year's Honour List Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Mayor's New Year's Honour List and replace it with a new Council policy entitled Mayor's New Year's Honour List Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Mayor's New Year's Honour List is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Mayor's New Year's Honour List is hereby repealed.
3. The policy entitled "Mayor's New Year's Honour List Policy", attached hereto as Appendix "C(4)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(4)"

Mayor's New Year's Honour List Policy

1. A Mayor's New Year's Honour List shall be compiled each year to recognize persons who have contributed in an outstanding manner to the community of London in one of the following categories, namely:
 - a) Arts (i.e. contributions to fostering and/or the production of human creativity);
 - b) Heritage (i.e. contributions to the awareness, preservation and protection of heritage resources);
 - c) Environment (i.e. contributions to the awareness, preservation and protection of the environment);
 - d) Housing (i.e. contributions to the provision of safe and accessible housing for all members of the community);
 - e) Safety & Crime Prevention (i.e. contributions to a safe and secure community);
 - f) Persons with Disabilities (i.e. contributions to the promotion and facilitation of a barrier-free community for citizens of all abilities, including those with disabilities);
 - g) Humanitarianism (i.e. contributions to human welfare through philanthropic and other efforts);
 - h) Sports (i.e. contributions to the awareness of and participation in sports activity and/or demonstrated excellence within a particular sports activity); and
 - i) Diversity and Race Relations (i.e. contributions to the elimination of hate and discrimination).
2. Recipients shall be named by City Council, on the recommendation of the following advisory committees or organizations, through the appropriate Standing Committee, based upon the reporting relationship of the respective advisory committee or organization, with respect to the individual categories as outlined above:
 - a) London Arts Council
 - b) London Advisory Committee on Heritage
 - c) Advisory Committee on the Environment
 - d) London Housing Advisory Committee
 - e) Community Safety & Crime Prevention Advisory Committee
 - f) Accessibility Advisory Committee
 - g) Diversity Inclusion and Anti-Oppression Advisory Committee
 - h) London Sports Council; and
 - i) Diversity Inclusion and Anti-Oppression Advisory Committee
3. The Mayor's New Year's Honour List shall be subject to the following conditions:
 - a) a maximum of nine persons shall be named in any one year, with no more than one being from each of the nine categories referred to above subject to:
 - i) a person may not necessarily be named in each category each year;
 - ii) Municipal Council may, at its sole discretion and on an exception basis, choose to recognize two individuals in any one category in a given year should the Municipal Council determine that two individuals have inseparably partnered in contributing to their respective category, thereby increasing the aggregate amount of nominees beyond the usual maximum of nine persons to be named in any one year;
 - b) the recipients shall be chosen for long standing contributions in their respective categories;

- c) the name of any one individual shall be included on the Honour List only once in their lifetime;
 - d) any person currently serving as a member of any one of the advisory committees or organizations referred to in part 2 shall not be eligible for naming to the list during their term of office;
 - e) nominees being recommended by the advisory committees or organizations referred to in part 2 shall have at least seventy-five percent of the total eligible votes on the respective advisory committee or organization; and
4. The recipients shall be honoured at the first meeting of the City Council in January, with dinner and an appropriately worded certificate.
 5. A plaque shall be displayed in a prominent public area of City Hall honouring those persons named each year to the Mayor's New Year's Honour List and shall be updated annually by the City Clerk.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Civic Luncheons and Receptions and replace it with a new Council policy entitled Annual Retirement Dinner, 25-Year Club Dinner and Other Civic Dinners Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Civic Luncheons and Receptions and replace it with a new Council policy entitled Annual Retirement Dinner, 25-Year Club Dinner and Other Civic Dinners Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Civic Luncheons and Receptions is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Civic Luncheons and Receptions is hereby repealed.
3. The policy entitled "Annual Retirement Dinner, 25-Year Club Dinner and Other Civic Dinners Policy", attached hereto as Appendix "C(5)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(5)"

Annual Retirement Dinner, 25-Year Club Dinner and Other Civic Dinners Policy

1. Subject to the annual budget approval process, an annual City of London Retirement Dinner for retiring employees and an annual Council dinner for those employees achieving 25-Years of Service in that calendar year, shall be hosted by the City of London.
2. The City of London may, on its own initiative and on the recommendation of the Mayor and the City Clerk, host a civic dinner for special occasions which may arise from time to time, on the understanding that such dinners will be held solely on the City's initiative and not as a result of an application or request from an outside source.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Diversity, Race Relations and Inclusivity Award and replace it with a new Council policy entitled Diversity, Race Relations and Inclusivity Award Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Diversity, Race Relations and Inclusivity Award and replace it with a new Council policy entitled Diversity, Race Relations and Inclusivity Award Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Diversity, Race Relations and Inclusivity Award is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Diversity, Race Relations and Inclusivity Award is hereby repealed.
3. The policy entitled "Diversity, Race Relations and Inclusivity Award Policy", attached hereto as Appendix "C(6)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(6)"

Diversity, Race Relations and Inclusivity Award Policy

Purpose of Award:

1. To promote public awareness of and encourage ongoing initiatives on diversity, race relations, inclusivity, anti-oppression and human rights and to promote/advance London as a welcoming city.
2. To recognize and encourage small businesses/small labour (49 or fewer employees/members); large businesses/large labour (50 or greater employees/members); social/community service not-for-profits (49 or fewer employees/members); social/community service not-for-profits (50 or greater employees/members) youth and young adult groups (less than 26 years of age) or organizations, that promote awareness of diversity, race relations, inclusivity and human rights and promote/advance London as a welcoming city.

Recipients will be presented with the Award by the Mayor, on behalf of the Municipal Council, at the closest possible meeting date to December 10 - Human Rights Day. There will be a maximum of five Awards presented in any one year, with no more than one Award being awarded in each of the five categories noted in section 2 above.

All Londoners are invited to submit their nominations using the Nomination Form available on the City's website or obtained through the City Clerk's Office, 3rd Floor, City Hall, 300 Dufferin Avenue.

September 30 is the deadline for sending award nominations to the Committee Secretary of the Diversity Inclusion and Anti-Oppression Advisory Committee. Below is the criteria for award eligibility and details of the award nomination process.

Eligibility Criteria:

To be eligible, a nominee must:

1. represent one of the following categories:
 - small businesses/small labour (49 or fewer employees/members);
 - large businesses/large labour (50 or greater employees/members);
 - social/community service not-for-profits (49 or fewer employees/members);
 - social/community service not-for-profits (50 or greater employees/members);
 - youth and young adult (less than 26 years of age) groups or organizations;
2. have been operating in London continuously during the past 12 months, at a minimum;
3. have made their qualifying contribution in the City of London within the past 12 months; and,
4. consent to the nomination;

noting that previous years' recipients would remain eligible for nomination in future years on the condition that any subsequent nomination is not based upon the same achievement or initiative for which they have already received an Award or for which they have previously been nominated.

Nomination Criteria:

1. Nominations can be made by any individual who works or resides in the City of London. The nominators must be familiar with the activities of the nominee, and may be called upon for an interview by the Awards and Recognition Sub-Committee of the Diversity Inclusion and Anti-Oppression Advisory Committee.
2. Nominations will be received for each of the following categories, but awards may not necessarily be presented in each category, each year:

- small businesses/small labour (49 or fewer employees/members);
- large businesses/large labour (50 or greater employees/members);
- social/community service not-for-profits (49 or fewer employees/members);
- social/community service not-for-profits (50 or greater employees/members);
- youth and young adult (less than 26 years of age) groups or organizations.

3. Nomination submissions must include:

- category
- profile of nominee
- consent of nominee
- information about the nominator (i.e., name, address, etc.)
- brief description of the nominee and initiative, including the reasons for nomination
- responses to the following four questions:
 - a) How has the initiative contributed to the promotion of diversity, race relations, inclusivity, anti-oppression and human rights in London and promoting London as a welcoming city?
 - b) What short or long-term impact has/will the initiative have on the promotion of diversity, race relations, inclusivity, anti-oppression and human rights in London and promoting London as a welcoming city?
 - c) What is the potential for expansion and/or inspiration for replication of the initiative?
 - d) How can receiving this Award be used to further promote diversity, race relations, inclusivity, anti-oppression and human rights in London and to further promote London as a welcoming city?

All nominators and nominees will be advised of the status of their nomination prior to the presentation of the Award.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Methane Gas and replace it with a new Council policy entitled Methane Gas.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Methane Gas and replace it with a new Council policy entitled Methane Gas;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Methane Gas is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Methane Gas is hereby repealed.
3. The policy entitled "Methane Gas", attached hereto as Appendix "C(7)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(7)"

Methane Gas

That the following actions be taken in connection with methane gas:

(a) Requirements at the Building Permit Application Stage

Where methane is known to exist on a property being the subject of a building permit application, the applicant shall submit a qualified consultant's report to the Chief Building Official outlining the remedial measures required for the mitigation of methane during construction. Upon completion of construction and prior to any occupancy of the structure constructed or modified, as a result of the building permit issued, the permit holder shall submit to the Chief Building Official a qualified consultant's report confirming said occupancy may be permitted and shall outline post-occupancy permanent methane mitigation measures.

(b) Future Monitoring

The City Engineer shall be authorized to undertake monitoring on a regular basis of all areas within the City where there may be potential methane gas problems and that the frequency of this monitoring cycle be adjusted as determined by the City Engineer, based on the current findings, changing environmental conditions and the season of the year.

(c) Floor Drains

The Chief Building Official, in liaison with the City Clerk shall be authorized to initiate regular communications to inform homeowners of the need to ensure that plumbing traps in basement floors are kept full of water for the following reasons:

Reasons

Provincial codes require that floor drains must be trapped to prevent infiltration of various substances into homes through the interconnected sewer system. Traps are normally filled with water to accomplish this purpose. In many cases the water evaporates out of the trap, and the purpose of the trap is nullified. Residents and homeowners tend to neglect this home maintenance. It is desirable that homeowners be made aware of the reason for traps in their drainage systems, and from time to time check to be sure that water is present in the trap. Dumping a pail or two of water into floor drains weekly is a good practice as it creates a minor flush which tends to eliminate possible odours, and at the same time ensures that the trap is functioning properly.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Unprotected Excavations at Construction Sites and replace it with a new Council policy entitled Unprotected Excavations at Construction Sites.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Unprotected Excavations at Construction Sites and replace it with a new Council policy entitled Unprotected Excavations at Construction Sites;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Unprotected Excavations at Construction Sites is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Unprotected Excavations at Construction Sites is hereby repealed.
3. The policy entitled "Unprotected Excavations at Construction Sites", attached hereto as Appendix "C(8)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(8)"

Unprotected Excavations at Construction Sites

That the following policies be established with respect to the dangers of unprotected excavations at construction sites:

- (a) the Chief Building Official be instructed to take such action as they deem necessary from time to time to abate dangers to the public which are created by abandoned excavations at building construction sites, after appropriate notice and opportunity to correct the situation has been provided to the owner of the excavated site;
- (b) the Chief Building Official shall report all circumstances requiring them to take action under this policy to City Council at their first opportunity; and
- (c) the City Solicitor be instructed to recover the costs of abatement measures taken, upon notification by the Chief Building Official.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Requiring Building Permits for Buildings Constructed More Than One Year Prior and replace it with a new Council policy entitled Requiring Building Permits for Buildings Constructed More Than One Year Prior.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Requiring Building Permits for Buildings Constructed More Than One Year Prior and replace it with a new Council policy entitled Requiring Building Permits for Buildings Constructed More Than One Year Prior;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Requiring Building Permits for Buildings Constructed More Than One Year Prior is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Requiring Building Permits for Buildings Constructed More Than One Year Prior is hereby repealed.
3. The policy entitled "Requiring Building Permits for Buildings Constructed More Than One Year Prior", attached hereto as Appendix "C(9)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(9)"

Requiring Building Permits for Buildings Constructed More Than One Year Prior

That, as a result of the coming into force of Bill 20, the Land Use Planning and Protection Act, 1996, a policy be established by which the Chief Building Official (CBO) is authorized to put appropriate procedures in place such as requiring an applicant for a building permit to provide a sworn affidavit to satisfy the CBO that the construction for which a permit is being sought took place before November 16, 1995; and requiring independent evidence from other than an applicant verify that the said construction took place before November 16, 1995; and further, that the CBO be authorized to continue the "practice" outlined in the letter dated November 26, 1992 contained in [Appendix 2\(9A\)](#) with respect to permits for buildings that have been constructed for more than one year.

Appendix 2(9A)

Requiring Building Permits for Buildings Constructed More Than One Year Prior

Date: November 26, 1992

To: Councillor Yorke
c/o Room 221, City Hall

From: R. Cerminara, P. Eng.
Director of Building Controls

Subject: Requiring Building Permits for Buildings Constructed More Than One Year

Your inquiry "as to who authorized the policy for not retroactively requiring a building permit for those buildings illegally constructed without a permit at least one year prior to being detected by the Civic Administration" has been referred to the writer for a response. This issue has been reviewed with R. A. Blackwell and K. L. Perry and the following response has been prepared.

Subsection 24(4) of the Building Code Act states:

"No proceeding under this section shall be commenced more than one year after the time when the subject-matter of the proceeding arose."

The Section referred to above is section 24, which deals with offences and fines. There is a difference of opinion in the interpretation "when the subject-matter of the proceeding arose". It has been argued that the "clock starts ticking" after the construction has been completed, and therefore, a person could not be prosecuted more than one year after construction was completed. Another view is that the "clock starts ticking" when the municipality became aware of the construction. This issue has not been litigated sufficiently to determine which view the Courts will take.

Notwithstanding the limitation period, while it may be appropriate to issue an order to obtain a permit to a person known to have constructed without a permit, even though it has been more than one year, it is very difficult and probably unenforceable to order the current owner of the building to take out a permit for work done by previous owners. In these cases, the only thing that one can do is inspect for unsafe conditions, as described below.

Section 10 of the Building Code Act deals with existing buildings and unsafe conditions. It would appear that once a complaint has been received regarding illegal construction, the municipality is obliged to follow up and to inspect to eliminate any unsafe conditions that might exist.

The issue of liability for the municipality is also a concern. Where construction has been carried out without a permit and a permit is issued after the fact, the municipality could be held liable for faulty construction which was not inspected. Therefore, in these cases, construction must be uncovered to the extent that the building inspector can be satisfied that construction conforms to the Ontario Building Code.

The policy of the Building Division has been that the municipality should not and will not be held liable for construction that has not been inspected by the municipality. The level

of inspections on construction carried out without a permit would be similar to that carried out if the person had obtained a permit in the first instance.

In reply to your specific enquiry, the Building Division does require building permits be issued for work complete more than one year before detection if the person completed the work is the current owner. Secondly, construction plans must be prepared by the owner describing the construction. Thirdly, sufficient work must be exposed to satisfy the building inspector that compliance with the Building Code has been achieved. Where the owner refuses to uncover the work, the building will be deemed to be deficient and so noted on our files for subsequent purchasers. This problem of refusal will be taken care of by the new Building Code Act, Bill 112, which received Royal Assent on November 5, 1992 and will be proclaimed into force in the spring of 1993. The new Building Code Act provides the authority to have construction exposed where such construction was done without a building permit.

Where the work is determined to have been done by previous owners, the policy will be that a building permit will not be required, however, an inspection will be conducted to determine if there are any apparent unsafe conditions and if there are, orders will be issued to rectify these conditions and the remedial work itself may require a building permit.

I trust this is satisfactory.

R. Cerminara (signed)

cc. J. E. Fleming, R. A. Blackwell, K. L. Perry

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Tours onto 12th Floor Deck and replace it with a new Council policy entitled Tours Onto the 12th Floor Open Deck Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Tours onto 12th Floor Deck and replace it with a new Council policy entitled Tours Onto the 12th Floor Open Deck Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Tours onto 12th Floor Deck is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Tours onto 12th Floor Deck is hereby repealed.
3. The policy entitled "Tours Onto the 12th Floor Open Deck Policy", attached hereto as Appendix "C(10)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(10)"

Tours Onto the 12th Floor Open Deck Policy

City Hall tours onto the 12th floor open deck shall be restricted to persons 15 years of age or over, with the exception of children accompanied by a parent or guardian or other responsible person.

The parent or guardian or other responsible person shall be informed by the City of London tour guide that the children are permitted on the 12th floor open deck at the responsibility of the accompanying parent or guardian or other responsible person.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Animals in City Hall and replace it with a new Council policy entitled Animals in City Facilities Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Animals in City Hall and replace it with a new Council policy entitled Animals in City Facilities Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Animals in City Hall is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Animals in City Hall is hereby repealed.
3. The policy entitled "Animals in City Facilities Policy", attached hereto as Appendix "C(11)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(11)"

Animals in City Facilities Policy

No dogs or other animals, with the exception of guide dogs or other service animals permitted under O.Reg. 191/11: Integrated Accessibility Standards, as amended, shall be permitted within a City-owned facility, unless explicitly authorized under a Facility Rental Contract.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Use of Cafeteria as a Staff Facility and replace it with a new Council policy entitled Use of Cafeteria as a Staff Facility Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Use of Cafeteria as a Staff Facility and replace it with a new Council policy entitled Use of Cafeteria as a Staff Facility Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Use of Cafeteria as a Staff Facility is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Use of Cafeteria as a Staff Facility is hereby repealed.
3. The policy entitled "Use of Cafeteria as a Staff Facility Policy", attached hereto as Appendix "C(11)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(11)"

Use of Cafeteria as a Staff Facility Policy

The City Clerk shall take the steps necessary to de-emphasize the use of the City Hall cafeteria for purposes other than its originally intended use as a staff cafeteria facility.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Soliciting Funds in City Hall and replace it with a new Council policy entitled Soliciting Funds in City Hall Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Soliciting Funds in City Hall and replace it with a new Council policy entitled Soliciting Funds in City Hall Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Soliciting Funds in City Hall is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Soliciting Funds in City Hall is hereby repealed.
3. The policy entitled "Soliciting Funds in City Hall Policy", attached hereto as Appendix "C(13)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(13)"

Soliciting Funds in City Hall Policy

Subject to approval by the City Clerk, a registered charitable organization whose mission is in keeping with the City of London's established values may solicit funds from City of London employees. Such soliciting shall be confined to the lower level and/or basement lobby areas of City Hall and shall be limited to one business day between the hours of 7:30 AM and 9:00 AM.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements and replace it with a new Council policy entitled Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements and replace it with a new Council policy entitled Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements is hereby repealed.
3. The policy entitled "Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements Policy", attached hereto as Appendix "C(14)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix “C(14)”

Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements Policy

That the following policy be established with respect to the naming/re-naming or dedicating of municipal property, buildings and park elements:

POLICY STATEMENT

It is the policy of The Corporation of the City of London that Municipal Council shall approve the Naming/Re-naming of all major external municipal property, buildings and park elements. Preference shall be given to naming/re-naming after significant geographical, neighbourhood and historical elements. On occasion, the Municipal Council may wish to acknowledge the activities and significant contributions made by organizations to the City of London or to society through the use of various tangible recognition naming options.

INTENT

The intent of this Policy is to:

- continue the current traditional practice of naming municipal property, buildings and park elements after significant geographical, neighbourhood and historical elements;
- recognize, on an exception basis, significant contributions that organizations (individuals may be considered in special circumstances with the exception of elected officials currently in office) have made to the public life and the well-being of the people of London; and
- provide direction on how to apply for approval to name, re-name or dedicate major external municipal property, buildings or park elements.

In instances where a naming request has been proposed as a result of receiving a significant donation toward the acquisition, creation or redevelopment of the property, building or element, consideration will be given to the sponsorship contribution being provided.

The recognition of fallen Fire Fighters and Fire Stations are not included in the scope of this Policy. Municipal property and buildings means: all real property including unimproved lands, buildings and structures owned by the City including but not limited to dedicated parkland, open space, recreational facilities, bridges, operations facilities and administrative office buildings. Park Elements mean: substantial structures or recreational aspects of a park such as trails, ball diamonds, gardens, playgrounds, washrooms and water elements.

NAMING PRINCIPLES

- Names shall be unique; name duplication and similar sounding names shall be avoided.
- Names should give a sense of place, continuity, belonging and celebrate the distinguishing characteristics and uniqueness of London.
- Names should maintain a long standing local area identification with the residents of London.
- Names shall be understandable to the majority of Londoners.
- Names shall not be discriminatory, derogatory or political in nature.
- Names shall be consistent with any other applicable City of London policies and naming standards.
- Names shall assist with emergency response situations by being consistent with street names and geographical locations.
- The form of signage shall be consistent with corporate signage and plaque guidelines.
- The cost associated with signage will be the responsibility of the City when the naming/re-naming has been initiated by the City and will be the responsibility of the community when the naming/re-naming has been initiated by the community.

- The City of London makes all final decisions concerning what is placed or occurs on City property and in its buildings.
- Names associated with a sponsorship will be considered when a donation amount relates to the construction value of an element.
- Naming or renaming shall not be made after an elected official currently in office.
- Council shall retain the right not to name certain facilities of broad community importance such as (but not limited to) City Hall.

NAMING PREFERENCES

(a) Priority (in order of preference) shall be given to continuing the current naming/re-naming practice of City of London property and buildings after:

1. the area or planning district in which the property or building is located to provide a geographical association to help the public to locate a park, bridge or building more easily;
2. the most dominant "constant feature either within or nearby" the selected site such as an associated significant ecological or natural resource feature
3. an historical name related to London's heritage and/or historical folklore;
4. an event or person of international, national or provincial significance; or
5. an organization (or individual, with the exception of elected officials currently in office or fallen fire fighter) to recognize:
 - particular activities and significant contributions to the London community and/or society; and/or
 - outstanding contributions and/or sponsorships made toward the development and/or enhancement of a property or building.

(b) Preference shall be given to naming City of London Elements (within parks or buildings) after an organization or an individual.

Specific Criteria When Naming/Re-naming after an Organization or an Individual

When a name of an organization (or an individual) is being considered the following criteria should apply:

- the contribution they have made to the public life and the well-being of London;
- the sponsorship contribution made toward the acquisition, creation or redevelopment of the property, building or feature;
- a direct relationship or association that existed between the place of residence of the individual and the property, building or element to be named;
- where a property, building or element is named after a sports or entertainment celebrity the type of element shall be associated with the celebrity; and,
- where the name of an individual or organization is so used, approval shall be obtained from the individual (their family) or the organization for such naming.

TYPES OF SITUATIONS APPLICABLE TO NAMING

There are six (6) main types of situations which provide the instigation for a naming which this Policy intends to address:

1. an opening or re-opening of a building or bridge, which may require donations;
2. a civic recognition;
3. international, national or provincial events/competitions
4. dedications to individuals;
5. new park development; and,
6. corporate sponsorship.

1. An Opening Or Re-opening of A Building or Bridge

For the opening or re-opening of a building which may be the result of a capital building campaign, Council approves the proposed business plan which includes a plan for contribution recognition upon receipt of public donations. Citizens of London contribute to this campaign for numerous reasons including being recognized through receiving appreciation from the City and/or having their name located on a plaque board or on a particular feature of the building or park. Donations made for a building campaign are usually collected by a community group toward the project.

The names of the Mayor, the appropriate Standing Committee of Council and Ward Councillors may be noted on a recognition plaque when the names are those of the Council which approved the project.

2. A Civic Recognition

A civic recognition may be requested by a member of the public or may be initiated by the City itself to recognize a group or an individual's outstanding accomplishments, involvement or work in the local community or in a provincial or national forum.

3. International, National or Provincial Events/Competitions

A naming or re-naming of a building or an amenity within it in recognition of it being a venue for international, national or provincial events/competitions will occur to fulfill a condition agreed to by the City as part of its hosting obligations. Council may also consider the naming or re-naming of such a facility or amenity to recognize an individual, group or corporation who donates significantly toward meeting the cost of hosting the event/competition. The naming or re-naming may be for the duration of a specified number of years, at any time after which Council in its sole discretion may re-name the building or amenity.

4. Individual Naming Dedications

Dedications made to a person are often requested to celebrate a special occasion such as:

- a birth;
- a marriage;
- an anniversary;
- an accomplishment; or,
- a major landmark event, person(s) such as a retirement or happenings.

Options for naming/re-naming for Individual Naming Dedications are not covered as part of this policy. They can be found for naming of park features covered under The Commemorative Park Bench and Tree Program and The Storybook Gardens Brick Naming Program. Requests for naming dedications will not be granted for memorial purposes normally found at cemeteries nor will they be granted for elected officials currently in office.

5. New Park Development

Planning Services is responsible for naming new parks which are developed as part of the subdivision development process. The names selected for new parks continue the current naming/re-naming practice adopting the area, subdivision or planning district name in which the park is located to provide a geographical association to help the public to locate the park more easily.

6. Corporate Sponsorship

The City's Corporate Sponsorship and Advertising Policy outlines the situations and specific application criteria. It applies to all business relationships between The Corporation of the City of London and businesses which contribute either financially or in-kind to City programs, services or facilities in return for recognition, public acknowledgement or other promotional considerations. Only for cases of sponsorship which has an associated sunset clause, will a corporate name or advertising brand be used.

APPLICATION REVIEW AND APPROVAL PROCESS

Applicant(s) shall submit a written request for civic naming to the City Clerk. The written request shall provide the following:

- background information concerning the rationale for consideration of the request;
- biographical information if named after an organization (or an individual); and,
- documentation including letters from organizations and individuals providing substantial support for the request.

The applicant(s) must assume responsibility for securing consensus within the community with respect to the application. Opposition to the application must be addressed and resolved by the applicant(s).

Upon receipt of an application, the City Clerk shall circulate the application to applicable Civic Departments for review.

Application Review Process

Each application for naming/re-naming shall undergo a process which will:

- review the application for conformity with this policy;
- circulate the application to the appropriate internal stakeholders for comment on the suitability of the application:
 - to the Municipal Addressing Advisory Group (MAAG) which is comprised of representatives from Development and Compliance Services, City Clerk's Office, Environment and Engineering Services and Emergency Service providers (Fire, Police and Ambulance) to review all proposed external civic names for the purpose of minimizing confusion for emergency response situations;
 - to Planning Services, Parks and Recreation, and Neighbourhood, Children and Fire Services - for new park development naming, park re-naming and park elements;
 - to Environmental and Engineering Services - for bridge naming;
 - to Parks and Recreation and Neighbourhood, Children and Fire Services - for recreational facility naming;
- consult with external stakeholders in the community and identify possible objections and/or positive responses and determine the level of support for the requested civic naming; and
- determine whether or not a special event is planned to coincide with a formal naming ceremony.

Application Approval Process

Following completion of the application review process, the Civic Administration shall submit a report with the appropriate recommendation to the appropriate Standing Committee of Council to either approve or not approve the naming/re-naming as requested by the applicant(s). The report shall include the following:

- a recommendation;
- rationale for recommended selection;
- confirmation of the individual's/organization's endorsement and community consensus;
- whether or not a ceremony is required;
- timing of the ceremony;
- future contributions to financing and ongoing maintenance (if applicable);
- the duration of time the name will be used (if applicable); and,
- other associated expenses with respect to signs, ceremonies, record keeping and how these costs will be addressed.

Special Circumstances

There may be special occasion where this above noted review process would not be followed (i.e., for a surprise civic naming). As an example, contests for naming are considered as a special circumstance requiring approval by the appropriate Standing Committee of Council.

CIVIC RE-NAMING

The City of London believes that existing names have an historical significance and place within the community and should not be changed unless it is an exceptional situation and it can be proven that the majority of local community are in support of the change. Each application for re-naming will be examined on a case by case basis.

1. Priority for re-naming will be granted by Council in instances where a re-naming is a condition of the awarding of an International, National or Provincial Event/Competition and/or the duration of time agreed upon as part of this condition has expired.
2. Corporate Sponsorship naming initiatives have a specific sunset clause associated with the length of time that the corporate name will be used.
3. Civic names may be changed if there are specific circumstances that arise which warrant a review.

Options to re-naming of an entire building or property could include:

- adding another new name to the existing name; or,
- subdividing or portioning off a particular property or feature to be given a new name or sub name; or,
- placing the names of an organization (or individuals) on a plaque to recognize their contributions if it is found that it is inappropriate to name a particular property or building in its entirety.

APPROPRIATE NAMING OPTIONS FOR RECOGNITION OF DONATIONS

The significance of the contribution provided by the applicant will be consistent with the proposed recognition of this contribution by the City of London. Consideration of the following should occur before the appropriate option is selected:

- the significance of the contribution made relative to the construction and operating cost of the item being named; and,
- the cost of establishing the naming option e.g., the cost of the signage to be paid by the applicant unless the City has made the request for the name change.

There may be other appropriate ways of recognizing donations which are not covered by this Policy (e.g., internal facility naming, the dedication of plaques at a facility such as the use of donor plaque boards or the purchase of park features such as trees, benches and picnic tables).

A donation for the purpose of receiving civic naming acknowledgement is not a guarantee of name perpetuity.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to City of London Days at the Budweiser Gardens and replace it with a new Council policy entitled City of London Days at the Budweiser Gardens Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to City of London Days at the Budweiser Gardens and replace it with a new Council policy entitled City of London Days at the Budweiser Gardens Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to City of London Days at the Budweiser Gardens is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to City of London Days at the Budweiser Gardens is hereby repealed.
3. The policy entitled "City of London Days at the Budweiser Gardens Policy", attached hereto as Appendix "C(15)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(15)"

City of London Days at the Budweiser Gardens Policy

OBJECTIVE

The City of London agreement for partnership and lease of the Budweiser Gardens provides for up to five community-sponsored events on a "rent-free basis" provided the City or event sponsor pay for all direct and out-of-pocket expense incurred by the London Civic Centre Corporation.

TYPES OF EVENTS ELIGIBLE

The following types of events will be eligible:

1. City of London-sponsored events such as opening ceremonies for sporting events and major community celebrations, which have not previously used the facility in accordance with normal rental or use arrangements.
2. Not-for-profit sporting events which are of a provincial or national significance, including championships for high schools, colleges or universities located within the City of London, which have not previously used the facility in accordance with normal rental or use arrangements.
3. Major not-for-profit civic events which are celebrations or charity events of a local, community-wide nature and have a direct benefit to the London community, which have not previously used the facility in accordance with normal rental or use arrangements.

MAXIMUM EVENT DAYS

1. The City is limited to five event days each year.
2. No group can have more than one event day per year.
3. No group can have more than two event days over a five-year consecutive period, with the exception of the annual United Way Harvest Lunch and Campaign Kick-Off, unless an exemption is approved by the Municipal Council due to unique circumstances.

EVENT DATES

The City of London shall provide sixty (60) days prior notice to Budweiser Gardens for use of the facility for a community-sponsored event, and the date of the event may not conflict or compete with events previously arranged or booked by Budweiser Gardens.

REQUIREMENTS OF USER GROUPS

1. The user group will be responsible for all direct and out-of-pocket expenses which are incurred.
2. The user group will be responsible for entering into an agreement with the Budweiser Gardens for use of the facility and all obligations arising from that agreement.
3. The user group will be responsible for all advertising, sponsorship and ticketing for the event subject to any conditions set out by the Budweiser Gardens.

CITY CONTACT

The City Clerk will be the primary contact for user groups and will be delegated responsibility to co-ordinate this policy.

APPROVAL

Council approval is required for all City events.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Use of Cell Phones and Pagers in Council Chambers - Prohibited and replace it with a new Council policy entitled Use of Cell Phones and Other Electronic Devices During Meetings of City Council or its Committees.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Use of Cell Phones and Pagers in Council Chambers - Prohibited and replace it with a new Council policy entitled Use of Cell Phones and Other Electronic Devices During Meetings of City Council or its Committees;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Use of Cell Phones and Pagers in Council Chambers - Prohibited is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Use of Cell Phones and Pagers in Council Chambers - Prohibited is hereby repealed.
3. The policy entitled "Use of Cell Phones and Other Electronic Devices During Meetings of City Council or its Committees", attached hereto as Appendix "C(16)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(16)"

Use of Cell Phones and Other Electronic Devices During Meetings of City Council or its Committees

All cell phones, computers, tablets, cameras and other electronic devices must be on silent mode during meetings of City Council or its Committees and may not be used in a manner that is disruptive to the meeting proceedings and/or does not comply with meeting procedures.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Use of Civic Square by Centennial Hall Events and replace it with a new Council policy entitled Use of Civic Square by Centennial Hall Events Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Use of Civic Square by Centennial Hall Events and replace it with a new Council policy entitled Use of Civic Square by Centennial Hall Events Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Use of Civic Square by Centennial Hall Events is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Use of Civic Square by Centennial Hall Events is hereby repealed.
3. The policy entitled "Use of Civic Square by Centennial Hall Events Policy", attached hereto as Appendix "C(17)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(17)"

Use of Civic Square by Centennial Hall Events Policy

Subject to approval by the City Clerk, part of the Civic Square may be used for display purposes (e.g. equipment and exhibits) for events held at Centennial Hall.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Grants to Centennial Hall and replace it with a new Council policy entitled Grants to Centennial Hall.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Grants to Centennial Hall and replace it with a new Council policy entitled Grants to Centennial Hall;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Grants to Centennial Hall is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Grants to Centennial Hall is hereby repealed.
3. The policy entitled "Grants to Centennial Hall", attached hereto as Appendix "C(18)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(18)"

Grants to Centennial Hall

That a policy be established to provide that should City Council wish to support an organization using Centennial Hall, it do so by giving direct financial assistance to that organization without any reference to Centennial Hall (as contemplated in Section 7 of the Proposals of the Provincial Government for Ontario Tax Reform); it being pointed out that by following this procedure, the organization receiving the financial assistance from the City would be expected to deal directly with the Management of Centennial Hall on the same basis as any other individual or group wishing to use the Hall and its facilities; it being further pointed out that the following concepts and understandings are hereby accepted by the City Council with respect to Centennial Hall, namely:

- a) Centennial Hall was constructed as a multi-purpose building and because of this fact its diversity is its strength, permitting it to cater to a cross-section of the community; and
- b) the original intention of City Council was that Centennial Hall would be managed as closely as possible in a private enterprise manner, and the City Council continues to support the Centennial Hall Management in this concept.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Reduced Rental Rates for Non-Profit Groups and replace it with a new Council policy entitled Reduced Rental Rates for Non-Profit Groups.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Reduced Rental Rates for Non-Profit Groups and replace it with a new Council policy entitled Reduced Rental Rates for Non-Profit Groups;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Reduced Rental Rates for Non-Profit Groups is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Reduced Rental Rates for Non-Profit Groups is hereby repealed.
3. The policy entitled "Reduced Rental Rates for Non-Profit Groups", attached hereto as Appendix "C(19)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(19)"

Reduced Rental Rates for Non-Profit Groups

That a policy be established whereby the rental of the auditorium to non-profit organizations which book a series of events, in advance, (at least six events per calendar year) and which require a very limited amount of set-up and maintenance is at a reduced rate. Such reduced rates will be included in the Rental Schedule for Centennial Hall as approved annually by City Council.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Objectives of Centennial Hall and replace it with a new Council policy entitled Objectives of Centennial Hall.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Objectives of Centennial Hall and replace it with a new Council policy entitled Objectives of Centennial Hall;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Objectives of Centennial Hall is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Objectives of Centennial Hall is hereby repealed.
3. The policy entitled "Objectives of Centennial Hall", attached hereto as Appendix "C(20)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(20)"

Objectives of Centennial Hall

That the following objectives pertaining to the operation of Centennial Hall be established:

- a) to strive to operate the Hall on at least a "break-even basis";
- b) to provide for the public hall needs of non-profit community groups and organizations;
- c) to establish a rental fee structure for non-profit community groups and organizations that will permit continued use of the facilities by such groups and organizations;
- d) to maximize revenues within a fee structure that recognizes reduced rentals for non-profit community groups and organizations;
- e) to provide for the public hall needs of entrepreneurs and others for the promotion of business, conventions, cultural, entertainment, industrial and religious events;
- f) to actively market the use of the facilities to increase revenues;
- g) to carry out improvements to the facilities that will enhance the use of the facilities and increase the revenue potential; and
- h) to maintain a high standard of maintenance of the facilities in keeping with the Civic Centre Complex.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Using Centennial Hall for City Sponsored Events and replace it with a new Council policy entitled Using Centennial Hall for City Sponsored Events.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Using Centennial Hall for City Sponsored Events and replace it with a new Council policy entitled Using Centennial Hall for City Sponsored Events;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Using Centennial Hall for City Sponsored Events is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Using Centennial Hall for City Sponsored Events is hereby repealed.
3. The policy entitled "Using Centennial Hall for City Sponsored Events", attached hereto as Appendix "C(21)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(21)"

Using Centennial Hall for City Sponsored Events

That a policy be established whereby the use of Centennial Hall for all City-sponsored or co-sponsored receptions or gatherings would be encouraged, where reasonable, and provided that the facility is competitive in price, available and capable of accommodating the event.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Lessee Protection and Non-Competitive Clauses and replace it with a new Council policy entitled Lessee Protection and Non-Competitive Clauses.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Lessee Protection and Non-Competitive Clauses and replace it with a new Council policy entitled Lessee Protection and Non-Competitive Clauses;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Lessee Protection and Non-Competitive Clauses is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Lessee Protection and Non-Competitive Clauses is hereby repealed.
3. The policy entitled "Lessee Protection and Non-Competitive Clauses", attached hereto as Appendix "C(22)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(22)"

Lessee Protection and Non-Competitive Clauses

That a policy be established whereby the Manager of Centennial Hall is authorized to negotiate such lessee protection or non-competitive clauses, not exceeding thirty days between events having the same or similar audience appeal, as may be appropriate in the sole discretion of the Manager.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Releasing of Assets Once Residents' Costs Paid and replace it with a new Council policy entitled Releasing of Assets Once Residents' Costs Paid.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Releasing of Assets Once Residents' Costs Paid and replace it with a new Council policy entitled Releasing of Assets Once Residents' Costs Paid;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Releasing of Assets Once Residents' Costs Paid is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Releasing of Assets Once Residents' Costs Paid is hereby repealed.
3. The policy entitled "Releasing of Assets Once Residents' Costs Paid", attached hereto as Appendix "C(23)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(23)"

Releasing of Assets Once Residents' Costs Paid

That a policy be established to provide that whenever a resident of the Dearness Home dies, leaves the Home of their own volition or is required to leave the Home and the City holds assets in trust on their behalf, the City Treasurer or designate be authorized to release the balance of such assets when the maintenance costs incurred by the resident have been paid in full.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Funeral Expenses for Indigent Residents and replace it with a new Council policy entitled Funeral Expenses for Indigent Residents.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Funeral Expenses for Indigent Residents and replace it with a new Council policy entitled Funeral Expenses for Indigent Residents;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Funeral Expenses for Indigent Residents is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Funeral Expenses for Indigent Residents is hereby repealed.
3. The policy entitled "Funeral Expenses for Indigent Residents", attached hereto as Appendix "C(24)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(24)"

Funeral Expenses for Indigent Residents

That a policy be established requiring the Dearness Home to assume responsibility for the funeral expenses for indigent residents who die in the Home.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Interest from Bequest Fund and replace it with a new Council policy entitled Interest from Bequest Fund.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Interest from Bequest Fund and replace it with a new Council policy entitled Interest from Bequest Fund;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Interest from Bequest Fund is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Interest from Bequest Fund is hereby repealed.
3. The policy entitled "Interest from Bequest Fund", attached hereto as Appendix "C(25)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(25)"

Interest from Bequest Fund

That a policy be established whereby the Administrator of the Dearness Home, after consultation with the Chair of the Dearness Home Committee of Management and the Residents' Council, be authorized to use the interest from the Bequest Fund for the purchase of suitable items for the Dearness Home and its residents.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Preferred Accommodation Charges and replace it with a new Council policy entitled Preferred Accommodation Charges.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Preferred Accommodation Charges and replace it with a new Council policy entitled Preferred Accommodation Charges;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Preferred Accommodation Charges is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Preferred Accommodation Charges is hereby repealed.
3. The policy entitled "Preferred Accommodation Charges", attached hereto as Appendix "C(26)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(26)"

Preferred Accommodation Charges

That a policy be established whereby residents of the Dearness Home who occupy a private room be expected to pay the additional rate of Preferred Accommodation to the extent provided for in the Ontario Regulation 79/10, sections 246 through 247 of the Long-Term Care Homes Act, 2007, section 91(2).

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to London Community Grants Policy and replace it with a new Council policy entitled London Community Grants Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to London Community Grants Policy and replace it with a new Council policy entitled London Community Grants Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to London Community Grants Policy is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to London Community Grants Policy is hereby repealed.
3. The policy entitled "London Community Grants Policy", attached hereto as Appendix "C(27)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

London Community Grants Policy

1. DEFINITIONS

- 1.1. "Not-for-profit" refers to an organization incorporated without share capital, under Part III of the *Corporations Act* or under the *Not-for-Profit Corporations Act*.
- 1.2. "Grant Application" refers to the application associated with each granting program to be completed at the time of application.
- 1.3. "Grant Agreement" refers to the legal agreement that is signed after an application has been deemed successful under the City of London Community Grants program. The Grant Agreement defines the terms and conditions under which the City of London grant will be made and cannot be altered in any way.
- 1.4. "Strategic Areas of Focus" refer to the priorities of the City of London Strategic Plan. These guidelines will refer to the Strategic Areas of Focus as "strategic priorities."
- 1.5. A "Procedural Error," in reference to the Appeals Process (s. 4.5), refers to a mistake that has been made as a result of not following the proper process for the allocation of grants as outlined in the City of London Community Grants Policy and/or the Council endorsed evaluation criteria for the assessment of grant applications.

2. GENERAL POLICY AND PROCEDURE FOR GRANTS

2.1. Goal

Through community investment and planning, the City provides opportunities to build social and cultural infrastructure, and strengthen neighbourhoods as key strategic determinants for the health and well-being of our local communities. Through this type of upstream investment in our people, neighbourhoods and communities, it is possible to deter downstream costs and impacts such as reduced crime and violence, reduced reliance on the social safety net and a reduction in poverty. Upstream investment will also result in improved outcomes such as increased literacy rates and improved health and physical activity levels, improved quality of life, improved cultural programming, economic development and enhancement of London's desirability as a community.

[Strategic Plan 2015-2019](#) "Strategic Areas of Focus" (herein referred to as "Strategic Priorities"):

- Strengthening our Community
- Building a Sustainable City
- Growing our Economy

2.2. Objectives

- (a) To ensure that an adequate administrative review of grant requests takes place;
- (b) To provide funding amounts to community groups or organizations that are eligible and approved under the grants criteria and according to their suitability in relation to the City's goal and other submitting organizations;
- (c) To ensure that those applying for assistance are evaluated on an equitable basis, utilizing the same evaluation criteria;
- (d) To ensure that a system of accountability is developed and maintained between the organization requesting funds and the City of London; and,
- (e) To review the City of London Grants Policy with each new Strategic Plan.

The City of London retains the right to share funding information received on the "grant application" form with other relevant funding bodies. The City of London also retains the right to obtain information from other funders regarding grant requests. This is for the purpose of providing additional information so that a co-ordinated approach to the funding of organizations in London might be achieved.

Interviews between the City of London staff and the Board of Directors and senior staff of

organizations applying may, in some cases, be requested for the purposes of reviewing grant requests and assessing service or program needs.

3. CATEGORIES

Applications for Municipal Grants are considered under the following categories:

3.1. Community Grants

- These are up to four year agreements with the City of London for organizations in the community pursuing one or more of the strategic priorities in alignment with the City of London Strategic Plan.

3.2. Innovation

- These grants are provided to new, emerging organizations and/or initiatives that engage in dynamic community partnerships, innovative improvements to service delivery and system collaboration, and/or generate new ideas.

3.3. Capital

- These grants are provided for projects involving construction or purchase of physical assets, including but not limited to, land, building and equipment.

4. PROCEDURES

4.1. All agencies who meet the eligibility criteria for the grant applied for are given the opportunity of making an application for City of London grants, except those excluded by law. The City will annually contact agencies who have expressed interest, notifying them of the process. Availability of grants will be advertised.

4.2. The relevant Application is to be completed with all pertinent information and forwarded to the designated City Staff person within the time frame specified for that category. No applications will be accepted after the due date.

4.2.1 The application process includes a mandatory community information session for all interested organizations. It will be held at the beginning of the application process (see complete process as outlined in the attached flow chart for the London Community Grants program below).

4.2.2 Organizations may request an “application interview” meeting with Civic Administration (designated city staff) prior to the application deadline date to review their application and ask questions related to the application form itself and/or the granting process.

4.3. Grant applications will be assessed by the community review panel in accordance with the program’s respective guidelines:

4.3.1 A community review panel of up to 11 individuals will be convened to make decisions regarding the allocation of municipal grants. The community review panel will be comprised of community members and city staff as outlined below:

- Community member (2-3)
- Expert in subject matter (specific to each funding stream) (2-3)
- Funder (1)
- Outcomes measurement expert (1)
- Financial expert (1)
- City Staff (2-3)

4.3.2 Members of the community review panel will assess applications and make decisions based on the strategic areas of focus for the City of London Strategic Plan and the criteria laid out in the evaluation criteria document.

4.3.3 Role of Staff

- Staff will provide relevant contextual and historical information to support

- informed decision making;
- City of London staff will sit on the community review and will participate in the decision making process.

4.3.4 Selection of Committee

- Civic Administration will seek qualified London residents to be part of the community review panel based on the make-up of the panel outlined above (relevant experience) and the requirements outlined under Confidentiality and Conflict of Interest below;
- Priority will be given to community members from diverse backgrounds, and staff will aim to have a cross representation of the community on the panel.

4.3.5 Confidentiality and Conflict of Interest

- Any community member directly or indirectly connected to organizations submitting an application to receive funding from the City of London will not be a member of the community review panel;
- Community review panel members will be required to sign a confidentiality and conflict of interest agreement prior to participation in a meeting and/or allocation of funding decisions;
- Members of the community review panel will remain anonymous until all funding decisions have been made. At this time, the committee membership will be released to the public;
- Members of the panel will be strictly required to adhere to the confidentiality and conflict of interest policies in order to uphold the values of integrity and fairness throughout the granting process. Adherence includes, but is not limited to the following:
 - Maintaining the confidentiality of information received, including the applicant's information, financials, etc.
 - Disclosing any potential or perceived conflict of interest at the time of their application to the committee, as well as throughout the duration of the funding deliberations
 - Keeping their involvement with the committee confidential until the funding decisions have been publicly released.

4.4. Applicants will be notified of the funding decision in a timely manner, dependent on the grant to which they have applied.

4.5. Appeal Process:

4.5.1. All decisions related to allocation, suspension, repayment and/or termination of funding in the London Community Grants Program will be communicated in writing and are open to appeal by the applicant/recipient.

4.5.2. Applicants to the London Community Grants Program may only appeal a procedural error or present new information that, for good reason, could not be submitted at the time of application.

4.5.3. Organizations may be notified that their appeal will not proceed if there has been no procedural error and/or no new information is available.

4.5.3.1. The appeal must be received in writing no sooner than 48 hours after the funding decision is released and no later than 10 business days after having been notified of the decision.

4.5.3.2. The appeal must be signed by the Board Chair/Treasurer of the appellant organization.

4.5.3.3. The Manager of Community Development and Funding will review all appeals and determine which appeals will be referred to the City's Managing Director/Director.

4.5.3.4. Managing Directors/Directors will review applications that relate to their priority area as follows:

4.5.3.4.1. Strengthening our Community: Managing Director, Neighbourhood, Children & Fire Services

4.5.3.4.2. Building a Sustainable City: Managing Director, Planning

4.5.3.4.3. Growing our Economy: Director, Community and Economic Development

- 4.5.3.5. The review will include the initial funding decision, funding submissions, contribution agreements/letters of agreement, procedural guidelines, letters, emails, payment histories, community need as well as the capacity of the organization.
- 4.5.4. Following the 10th business day after funding decisions have been released, a meeting may be requested by the Manager of Community Development and Funding if additional information is required to determine the viability of the appellant organization's appeal.
 - 4.5.4.1. After this meeting, viable appeals will be referred to the corresponding Managing Director/Director under which the appeal has been filed.
- 4.5.5. Organizations will be advised of the result of the appeal in writing within 30 business days of having received the appeal.
- 4.5.6. An appeal does not delay or suspend the city's disbursement of allocated funds to approved organizations.
- 4.5.7. Decisions of all appeals will be final.

5. POLICY

5.1. The Application:

- 5.1.1. Each applicant is required to complete (where applicable) an appropriate "Grant Application Form" within the specified time frame. Late or incomplete applications will not be accepted.
- 5.1.2. Grant Applications must be accompanied by financial statements for the previous year (preferably the audited statements), budgets or forecasts as well as evidence of adequate effort to secure financial support from the public or other levels of government, if applicable.
 - 5.1.2.1. The City has the right to request additional financial information to determine the viability of an organization.
- 5.1.3. All applicants receiving funding from the Municipality in order to provide a service to the citizens shall produce on request, adequate information which may be required. This is to ensure that the service being provided is in the best interest of the people served and that the City funds are being used in an effective and efficient manner.
- 5.1.4. In most cases, only one request per organization is to be considered in a fiscal year. All programs, projects and undertakings should be consolidated in the one request.
 - 5.1.4.1. An additional application may be made in the same fiscal year to the Capital and/or Innovation grants.
- 5.1.5. All grant applications must meet all of the required criteria in order to be considered for a City grant. All grants will be assessed in terms of their alignment with the Strategic Plan; need for the project; cost/effectiveness; financial viability; contribution to the quality of life in the community; community response and apparent quality.

5.2. The Organization

- 5.2.1. Organizations must be located in London and intending to use grant funds for services to the London community.
- 5.2.2. The organization must demonstrate strong managerial responsibility, capability, program planning and organization.
- 5.2.3. Only community groups and/or organizations are eligible to be considered for funding.
- 5.2.4. Organizations applying should have an active Board of Directors that is independent of senior staff of the organization.
- 5.2.5. The organization applying for a City of London grant shall be incorporated as a not-for-profit corporation. Proof of incorporation must be submitted with the application, if not already on file with the City. Notwithstanding that proof of incorporation may be on file, the City reserves the right to require proof that such incorporation has not been revoked.

5.2.5.1. An organization may submit an application to the Community Grants Program or Innovation Grants if not yet incorporated, but must be officially incorporated before any funding decision is made. The City of London cannot provide funding to an organization that is not incorporated.

5.2.6. All organizations applying for capital grants must be incorporated.

5.2.7. In general, organizations from which the City of London purchases services or with which it has contracts, will not be eligible. Priority will be given to organizations to which the City has not already contributed through other means.

5.3. The Grant

5.3.1. The length of the grant will be defined in the signed grant agreement.

5.3.2. A City of London grant should not be considered as the sole source of funding for the organization. City of London grants are intended to be supplementary to other sources of funding. Organizations will be expected to leverage opportunities for funding from other funders and to provide information about other sources of funding, both received and applied to, to the City of London.

5.3.3. A grant made to an organization in any year is not to be regarded as a commitment by the City to continue the grant in future years.

5.3.4. The City of London, through its grants process will not contribute to outstanding deficits.

5.3.5. In making grants, the City may impose such conditions as it deems fit.

5.4. Financial:

5.4.1. The organization must demonstrate strong financial responsibility and capability in carrying out its service to this community.

5.4.2. The organization must show that it has thoroughly explored all other available sources of funding.

5.4.3. The organization must demonstrate fund-raising capabilities and illustrate a future plan for the project.

5.4.4. The organization must indicate a clear financial plan and demonstrate efficient use of City funds in the project.

5.4.5. The organization must indicate other City contributions that are made to the organization (purchase of service, tax exemptions, etc.).

GRANT PROGRAMS

6. LONDON COMMUNITY GRANTS PROGRAM

6.1. Purpose:

The multi-year granting streams will provide funding to programs and initiatives that advance the strategic areas of focus for the City of London Strategic Plan. Applications for the multi-year streams will be assessed on their ability to achieve outcomes that will support the Strategic Plan.

6.2. Principles of Funding:

The following are overriding principles of funding and must be addressed in each application:

- the project/program responds to a community need and aligns with at least one of the Strategic Areas of Focus from the City of London Strategic Plan;
- support for innovation and collaboration among community organizations, funders and the City;
- encouragement of diversity, equity, accessibility and environmental friendliness;
- recognition of community support for the proposed activity;

- demonstration of community outreach, neighbourhood accessibility and value to the community;
- accountability of outcomes and benefits related to the proposed activity;
- demonstrated financial viability, no deficits or loans will be considered for assistance;
- commitment to multi-year funding;
- increased accountability and commitment;
- simple, clear, fair and transparent process; and,
- strong/responsible financial management and stewardship.

The Corporation of the City of London will ensure fairness in allocation based upon the merits and type of a proposed project/program and will encourage organizations to achieve self-sufficiency.

6.3. Methods of Funding:

Community Grants align with the strategic priorities of the City of London Strategic Plan. Applications for Community Grants will be considered for their ability to advance the following strategic priorities:

- Strengthening our Community
- Building a Sustainable City
- Growing our Economy

6.4. Eligibility Criteria:

The amount of funding allocated to the municipal granting program will be confirmed each year as part of the annual budget process.

Eligibility Criteria is based on the purpose and principles as reflected above and will consider the following criteria:

- applicants must demonstrate the need for the specific project/program
- applicants will demonstrate their ability to leverage funding for their program from other funders;
- applicants are not-for-profit community groups and organizations - individuals are not eligible;
- applicants must demonstrate how their proposal complies with the purpose and principles as reflected above;
- applicants may only submit one application to the multi-year funding streams, and may indicate more than one Strategic Area of Focus in the application;
- applicants must be located within the City of London;
- applicants will support a community/neighbourhood based activity;
- each proposal must specifically identify the defined impacts and outcomes;
- organizations must be governed by a community based volunteer board of directors;
- applicants must provide a letter of confirmation from the board of directors showing board approval of the proposal;
- applicants must provide the latest financial statement, audited or approved by the board of directors; and
- applicants must provide an organizational budget and a proposed project budget.

6.5. Evaluation Criteria:

Applications for the Community Grants Program will be assessed by a Community Review Panel for each round of applications. Grants will be awarded in accordance with this policy and will be considered in relation to the evaluation criteria for the Community Grants Program. These criteria will be made public once applications for

this program have been opened.

6.6. Progress Reports:

Organizations must adhere to the reporting timelines laid out in the signed Grant Agreement. Organizations will be required to submit their reports by the specified time on the Agreement or the City will reserve the right to withhold further payments and/or request repayment of previous advances related to the funded project.

7. INNOVATION GRANTS

7.1. Purpose:

Innovation grants will be provided to projects or organizations that can demonstrate:

- Proven or promising early stage innovations that need additional support to create the capacity and conditions to be effectively sustained
- Creative new approaches to social innovation that engage multiple stakeholders in creative collaboration to improve system delivery, coordination, and/or generate new ideas.

7.2. The Project:

- 7.2.1. Organizations seeking a grant from the City must demonstrate a need for the proposed project and must indicate how the particular organization is best suited to meet this need.
- 7.2.2. Organizations must present an idea that is innovative and meet at least one of the purposes of the fund.
- 7.2.3. Organizations requesting grants will not be eligible if, in the opinion of the City of London, the project for which funds are requested is superfluous to the requirements of the Community.
- 7.2.4. Projects for which grant funds are requested should be available to a broad cross-section of the London Community.
- 7.2.5. Priority will be given to projects that make a unique contribution to or are of special significance to the City.
- 7.2.6. All projects must conform to all relevant legal standards and requirements and should be physically accessible to all persons.
- 7.2.7. Preference will be given to organizations that are willing to create dynamic partnerships and share learned experiences with the community.

8. CAPITAL GRANTS

8.1. Purpose:

Capital Grants will be considered for the following purposes:

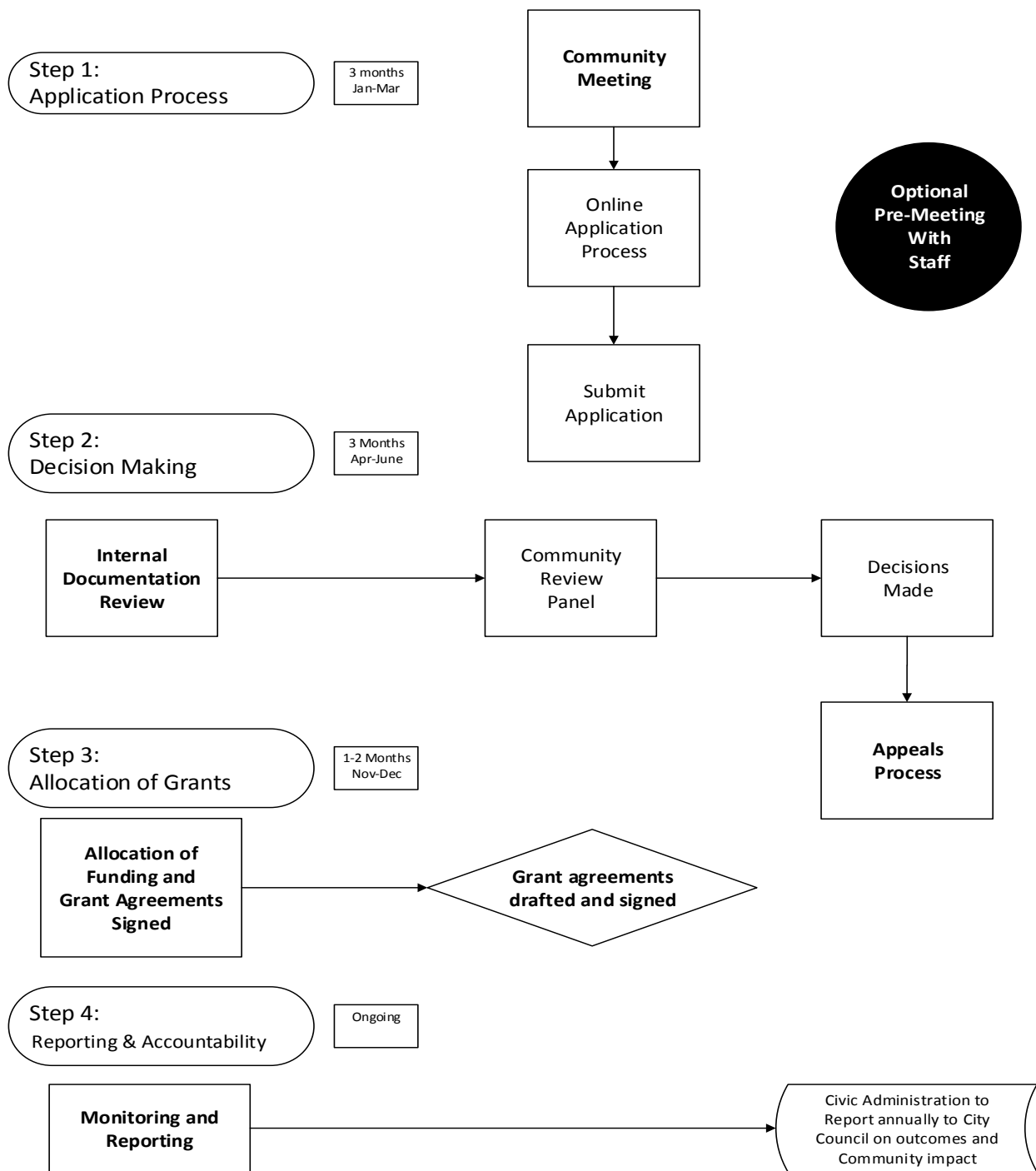
- Purchase of Land and Buildings: Grants are made in this category only when the purchase is required for the immediate capital project.
- Construction Costs: Grants in this category will be for costs associated with new facilities or renovation costs associated with the provision of additional program/service space.

8.2. The Project:

- 8.2.1. Organizations seeking a grant from the City must demonstrate a need for the proposed project and must indicate how the particular organization is best suited to meet this need.
- 8.2.2. The organizations requesting grants will not be eligible if, in the opinion of the City of London, the project for which funds are requested is unnecessary for the requirements of the community.
- 8.2.3. Projects for which grant funds are requested should be available to a broad cross-section of the London community.
- 8.2.4. Priority will be given to projects that make a unique contribution to or are of special significance to the City.
- 8.2.5. All projects must conform to all relevant legal standards and requirements and should be physically accessible to all persons.
- 8.2.6. All projects must be either tendered or open to competitive bidding by two or more parties.

- 8.2.7. Rehabilitation and replacement of existing facilities will be preferred as opposed to projects involving the construction of new facilities.
- 8.2.8. Preference will be given to organizations that demonstrate a willingness to co-operate in the sharing of their facilities with other organizations.

City of London Community Grants Program “Granting Process”



City of London Community Grants Program: Structure of Community Review Panel



Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Investment Policy and replace it with a new Council policy entitled Investment Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Investment Policy and replace it with a new Council policy entitled Investment Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Investment Policy is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Investment Policy is hereby repealed.
3. The policy entitled "Investment Policy", attached hereto as Appendix "C(28)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Investment Policy

1.0 POLICY STATEMENT AND PURPOSE

The Corporation of the City of London (the City) shall invest public funds in a manner that maximizes investment return and minimizes investment risk while meeting the daily cash requirements of the City and conforming to legislation governing the investment of public funds.

The purpose of this investment policy is to ensure integrity of the investment management process. The objective of this investment policy is to maximize investment income at minimal risk to capital. Accordingly, emphasis on investments is placed on security first, liquidity second and overall yields third.

2.0 SCOPE

This investment policy shall govern the investment activities of the City's General, Capital and Reserve Funds as well as Trust Funds. This policy applies to all investments made by the City on its own behalf and on behalf of its agencies, boards and commissions and any new funds created by the City.

3.0 STANDARD OF CARE

Prudence

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

Delegation of Authority and Authorization

The City Treasurer shall have overall responsibility for the prudent investment of the City's investment portfolio. The City Treasurer shall have the authority to implement the investment program and establish procedures consistent with this policy. Such procedures shall include the explicit delegation of the authority needed to complete investment transactions however the City Treasurer shall remain responsible for ensuring that the investments are compliant with regulations and this policy. No person may engage in an investment transaction except as provided under the terms of this policy.

The City Treasurer shall be authorized to enter into arrangements with banks, investment dealers and brokers, and other financial institutions for the purchase, sale, redemption, issuance, transfer and safekeeping of securities in a manner that conforms to the *Municipal Act, 2001* and the City's policy manual.

Transfer of funds for investment transactions shall be authorized by two of the individuals listed below, one of whom must be City Treasurer or Deputy City Treasurer.

1. City Treasurer
2. Deputy City Treasurer
3. Director of Financial Planning & Policy
4. Director of Financial Services
5. Manager of Financial Planning & Policy
6. Division Manager – Taxation & Revenue

4.0 OBJECTIVES

The primary objectives of this investment policy, in priority order, are as follows:

1. Adherence to statutory requirements;
2. Preservation of capital;
3. Maintenance of liquidity; and
4. Competitive rate of return.

4.0 OBJECTIVES - continued

The investment portfolio is comprised of:

- Operating and Capital cash flow balances;
- Reserves;
- Reserve funds; and
- Trust Funds.

1. Adherence to Statutory Requirements

All investment activities shall be governed by the Ontario Municipal Act, 2001 as amended. Investments, unless further limited by Council, shall be those eligible under Ontario Regulation 438/97 or as authorized by subsequent provincial regulations.

2. Preservation of Capital (Minimization of Credit Risk)

Meeting this objective requires the adoption of a defensive policy to minimize the risk of incurring a capital loss and of preserving the value of the invested principal. As such, this risk shall be mitigated by investing in properly rated financial instruments in accordance with applicable legislation, by limiting the types of investments to a maximum percentage of the total portfolio and being mindful of the amount invested within individual institutions.

3. Maintenance of Liquidity

The investment portfolio shall remain sufficiently liquid to meet daily operating cash flow requirements and limit temporary borrowing. The portfolio shall be structured to maintain a proportionate ratio of short, medium and long- term maturities to meet the funding requirements of the City. The term liquidity implies a high degree of marketability and a high level of price stability. Important liquidity considerations are a reliable forecast of the timing of the requirement of funds, a contingency to cover the possibility of unplanned requirement of funds and an expectation of reliable secondary marketability prior to maturity.

4. Competitive Rate of Return (Overall Yield)

Investment yields shall be sought within the boundaries set by the three foregoing objectives and then consideration shall be given to the following guidance;

- Higher yields are best obtained by taking advantage of the interest rate curve of the capital market, which normally yields higher rates of return for longer term investments;
- Yields will also fluctuate by institution as per individual credit ratings (greater risk confirmed by a lower credit rating) and by the type of capital instrument. For example, an instrument of a small trust company would in many cases have a slightly higher yield than a major bank;
- A lower credit rating generally makes an investment more difficult to sell on the secondary market and therefore less liquid; and
- Capital instruments that are non-callable will have a lower yield than instruments which are callable, but the call feature does not necessarily compromise marketability.

5.0 INVESTMENT STRATEGY

Diversification

To minimize credit risk and to maintain liquidity of the investment portfolio, investment diversification shall be guided by the following:

1. Limiting investments to avoid over-concentration in securities from a specific issuer or sector (excluding Government of Canada securities);
2. Limiting investment in securities to those that have higher credit ratings;
3. Investing in securities with varying maturities; and
4. Investing in securities which have an active secondary market.

5.0 INVESTMENT STRATEGY - continued

Diversification - continued

Investment Type Limitations

Cash held in the bank (excluding trust funds), i.e. one day maturity, shall be no less than what is deemed necessary to meet daily operating and capital requirements of the City. The current guideline is approximately \$50 million in general funds and \$150 million in reserve funds. This guideline shall be evaluated on an annual basis and this policy shall be updated as necessary to reflect any changes.

The total investment in securities issued by governments (federal, provincial or municipal) and Schedule I banks shall be no less than 75% of the total investment portfolio (excluding cash held in the bank and trust funds).

The remaining portfolio may be invested in any other securities which are deemed eligible under O.Reg 438/97 however no more than 10% of the total investment portfolio (excluding cash held in the bank and trust funds) shall be invested in eligible asset-backed securities and eligible commercial paper. Also, no more than 5% of the total investment portfolio (excluding cash held in the bank and trust funds) shall be invested in eligible pooled equity funds (i.e. One Investment Program Equity Portfolio).

These portfolio percentage limitations apply at the time an investment is made and exclude trust fund investments, which are subject to trust fund investment requirements. Investments held in a professionally managed portfolio are also excluded as diversification is subject to the judgement of the investment manager.

Investment Term Limitations

For the purpose of this policy, a short-term investment is defined as maturing in less than one year, medium-term as maturing between one and five years and long-term as maturing in greater than five years. In general, professionally managed portfolios are deemed to be long-term investments, as it is likely that the intention of Administration is to invest funds that are not required for the next five years. For the purposes of this section, professionally managed portfolios shall be considered long-term investments, unless it is specifically known otherwise. The total investment portfolio in calculating term limitations shall exclude trust funds. The term limitations for the portfolio are as follows:

- Short-term – minimum 50% of total investment portfolio;
- Medium-term – maximum 25% of total investment portfolio; and
- Long-term - maximum 25% of total investment portfolio.

The portfolio percentage limitations shall apply at the time the investment is made. At specific times the portfolio limitations may not be compliant to the policy for a short time for various reasons, for example the timing of maturities. Prior to any changes to the portfolio based on term limitations, the City Treasurer may, at their discretion, retain the investment(s), that contravenes the portfolio limitations provided that such action is not contrary to the Municipal Act, 2001.

Type and term limitations shall be reviewed annually by the City Treasurer and this policy shall be amended as necessary to minimize the City's exposure to changes in the financial marketplace after giving consideration to the available financial information.

Trust fund portfolio limitations are subject to the terms and conditions of the agreement to which the fund applies. Absent specific wording, compliance with the stated portfolio limitations is required, and should be considered separately from City of London funds.

Buy and Hold

To achieve the objectives noted in section four, internally managed funds shall, for the most part, follow the buy and hold strategy. As noted above, higher yields are best obtained by taking advantage of the interest rate curve of the capital market which normally yields higher rates of return for longer term investments. By purchasing securities at varying maturity dates and holding the investments to term the interest rate risk is minimized, liquidity is maintained and capital is preserved. To be successful with the buy and hold strategy, matching cash requirements to investment terms is a key element and requires a solid cash flow forecast.

5.0 INVESTMENT STRATEGY - continued

Buy and Hold - continued

Some municipalities actively trade investments rather than holding to term. This 'active' investment strategy can produce a modest improvement in yield, but to be successful a large amount of excess cash and sophisticated investment expertise is required. Professionally managed funds charge a fee (usually basis points deducted from the yield) but it is anticipated the performance of the fund will exceed the cost of administration. Nevertheless, performance of professionally managed funds shall be regularly compared to industry benchmarks and to the result that might be achieved using the internally managed approach.

Performance Standards

The investment portfolio shall be managed in accordance with parameters specified within this policy. The portfolio should obtain a market average rate of return throughout budgetary and economic cycles proportionate with investment risk constraints and the cash flow needs of the City.

The performances of investments shall be measured using multiple benchmarks and performance indicators. The baseline yield for investments is the interest rate earned by the City on cash held in its bank account. Then, investment yields can be compared to Government of Canada Treasury Bills and Benchmark Bond Yields. Furthermore, prime interest rates and other applicable market rates, such as Banker's Acceptance can be used to provide useful benchmarks with consideration to limitations attributable to the Municipal Act, 2001.

Internal Borrowing

In developing the cash requirements for the year, sufficient cash shall be available to fund capital expenditures. The main cash elements of the operating budget are stable and predictable, e.g. tax revenue and operating expenditures which is established in the budget process. The primary variable in forecasting cash demands is capital spending. Capital spending is supported (temporarily financed) by the General fund prior to securing long-term financing (primarily long-term debentures).

If the General fund does not have sufficient cash to support capital expenditures and operating expenditures during the year, the best option is to borrow from the Reserve Funds on a short-term basis, rather than obtaining external financing. In order for this to occur, the Reserve Funds must have sufficient cash available (i.e. not locked into long-term investments) to support the General Fund through this period. A fair rate of interest shall be applied based on the interest rate paid on funds in the City's consolidated bank account. For the most part the interest charged is going 'from one City pocket to another', but given that some reserve funds are non-rate funded, there is a requirement to pay a fair rate to the reserve funds for 'investing' in the General fund.

Trust Funds

Trust funds by nature must be maintained in a separate account and invested separately. The investment strategy will be dictated by the terms of the trust agreement. In the absence of specific direction, the strategy shall be in compliance with this policy.

Given the variability of capital spending, interest rates, and non-tax revenues, the investment strategy shall be reviewed, at a minimum, on an annual basis. Any changes in the investment strategy shall be reported to Council in the annual investment report and the investment policy shall be amended for the change in strategy.

6.0 REPORTING

The City Treasurer shall provide an annual investment report to Council which includes, at a minimum, the requirements set forth in O. Reg. 438/97. Under the current regulations the investment report shall contain the following:

1. a statement about the performance or the portfolio of investments of the municipality during the period covered by the report;
2. a description of the estimated proportion of the total investments of a municipality that are invested in its own long-term and short-term securities to the total investment of the municipality and a description of the change, if any, in that estimated proportion since the previous year's report;
3. a statement by the treasurer as to whether or not, in their opinion, all investments are consistent with the investment policies and goals adopted by the municipality;
4. a record of the date of each transaction in or disposal of its own securities, including a statement of the purchase and sale price of each security;
5. such other information that the council may require or that in the opinion of the treasurer, should be included;
6. a statement by the treasurer as to whether any of the investments fall below the standard required for that investment during the period covered by the report; and
7. the details of the proposed use of funds realized in the disposition of an investment for which the City sold as a result of a decline in rating below the standard required by O.Reg. 438/97.

In addition to the annual report, the City Treasurer shall report to Council any investment that is made that is not, in his opinion, consistent with investment policy adopted by the City within thirty days after becoming aware of it.

GLOSSARY OF TERMS

Asset Backed Securities: fixed income securities (other than a government security) issued by a Special Purpose Entity, substantially all of the assets of which consist of Qualifying Assets.

Basis Point (BPS): a unit that is equal to 1/100th of 1%, and is used to denote the change in a financial instrument. The basis point is commonly used for calculating changes in interest rates, equity indexes and the yield of a fixed-income security.

Credit Risk: is the risk to an investor that an issuer will default in the payment of interest and/or principal on a security.

Diversification: a process of investing assets among a range of security types by sector, maturity, and quality rating.

Interest Rate Risk: the risk associated with declines or rises in interest rates that cause an investment in a fixed income security to increase or decrease in value

Liquidity: a measure of an asset's convertibility to cash.

Market Risk: the risk that the value of a security will rise or decline as a result of changes in market conditions.

Market Value: current market price of a security.

Maturity: the date on which payment of a financial obligation is due. The final stated maturity is the date on which the issuer must retire a bond and pay the face value to the bondholder.

One Investment Program: a professionally managed group of investment funds composed of pooled investments that meet the eligibility criteria defined by O.Reg 438/97.

The program consists of Money Market Funds, Bond Funds and Equity Funds. The ONE Fund is operated by LAS (Local Authority Services Ltd., a subsidiary of the Association of Municipalities of Ontario) and the CHUMS Financing Corporation (a subsidiary of the Municipal Finance Officers' Association of Ontario).

GLOSSARY OF TERMS - continued

Qualifying Assets: financial assets, either fixed or revolving, that, by their terms converts into cash, within a finite time period, plus any rights or other assets designed to assure the servicing or timely distribution of proceeds to security holders.

Schedule I Banks: domestic banks that are authorized under the *Bank Act* to accept deposits, which may be eligible for deposit insurance provided by the Canadian Deposit Insurance Corporation.

Schedule II Banks: are foreign bank subsidiaries authorized under the *Bank Act* to accept deposits, which may be eligible for deposit insurance provided by the Canada Deposit and Insurance Corporation. Foreign bank subsidiaries are controlled by eligible foreign institutions.

Special Purpose Entity: a trust, corporation, partnership or other entity organized for the sole purpose of issuing securities that entitle the holders to receive payments that depend primarily on the cash flow from Qualifying Assets, but does not include a registered investment company.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Trust Funds and replace it with a new Council policy entitled Trust Fund Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Trust Funds and replace it with a new Council policy entitled Trust Fund Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Trust Funds is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Trust Funds is hereby repealed.
3. The policy entitled "Trust Fund Policy", attached hereto as Appendix "C(29)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(29)"

Trust Fund Policy

Purpose:

To set out the guidelines under which the City will establish, hold, maintain and administer trust funds held by it.

Definitions

In this policy, the following terms shall have this meaning ascribed to them:

"Auditor" – means the City's auditor appointed under section 296 of the *Municipal Act, 2001*;

"City" – means The Corporation of the City of London;

"City Treasurer" – means the City's Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate;

"Donation" – A gift, bequest, financial contribution, or in-kind contributions of tangible property such as art, furniture, equipment, material of historical interest, which has been given voluntarily and without compensation or non-monetary consideration such as advertising, promotion or services;

"Trust Fund" – means a financial account which holds donations received by the City that have conditions and/or legal requirements for use agreed upon by the donor and the City.

"Trust Document" – means the written instrument to establish the terms and conditions of the Donation and includes without limitation a will or an agreement between the donor and the City.

Application

- 1) This policy applies to all Trust Funds held by the City.
- 2) The City Treasurer shall establish, hold, maintain and administer Trust Funds in accordance with:
 - a) all applicable statutes, regulations and any related policies of the City; and
 - b) the Trust Document that governs the Trust Fund.
- 3) Legislated Trusts

Trust accounts established and maintained by the City for residents of the Dearness Home under the *Long-Term Care Homes Act, 2007*, S.O., c.8 shall be administered in accordance with that Act, any regulations made under it and any policy established by the City that may be required under the Act.

4) General

- a) The City Treasurer shall be responsible for establishing and administering all Trust Funds under this Policy.
- b) For all Donations except bequests, a Trust Document signed by the donor and the City shall be required prior to opening a new Trust Fund.
- c) This policy should be read in conjunction with the City's Donations Policy which is applicable to all donations received by the City of London.

5) Management and Reporting of Trust Funds

- a) All investment of Trust Funds shall be in accordance with the *Trustee Act, R.S.O. 1990, C. T.23*, the *Municipal Act, 2001*, any other applicable legislation and the City's Investment Policy.
- b) Interest on short term investments shall be credited to each Trust Fund not less than semi-annually, in arrears. The interest credited to said trust funds shall be equal to the amount earned by the City by the deposit or investment of said funds on an individual or pooled basis.
- c) Interest on long term investments shall be accounted for on a "cash" basis (i.e. credited to Trust Funds, in arrears, based on the timing of receipt of interest proceeds for each specific fund).
- d) The accounting policies for Trust Funds shall follow generally accepted accounting principles as set out in the CPA Canada Public Sector Accounting (PSA) Handbook and conform to the City's accounting policies prescribed from time to time by the City Treasurer with the exception of accounting for interest on long term investments as outlined in subsection (5)(c) above.
- e) In accordance with all applicable legislation, the City Treasurer shall have the financial records of all Trust Funds audited annually by the City's Auditor.
- f) The City Treasurer shall report to Municipal Council once each year, as at December 31 on the financial position and income and expenditures of trust funds administered during that period. The report format will be consistent with that required under the CPA Canada Public Sector Accounting (PSA) Handbook.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Donations Made for Non-Profit Organizations and replace it with a new Council policy entitled Donations Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Donations Made for Non-Profit Organizations and replace it with a new Council policy entitled Donations Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Donations Made for Non-Profit Organizations is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Donations Made for Non-Profit Organizations is hereby repealed.
3. The policy entitled "Donations Policy", attached hereto as Appendix "C(30)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Donations Policy

Purpose:

The purpose of this policy is to set out in accordance with the Income Tax Act and the Canada Revenue Agency guidelines and standards for:

- acceptance of Donations;
- issuing Official Income Tax Receipts to donors for income tax purposes; and,
- collection, recording and disbursement of Donations.

Definitions

In this policy, the following terms shall have this meaning ascribed to them:

"City" – means The Corporation of the City of London;

"City Treasurer" - means the City's Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate;

"CRA" – means the Canada Revenue Agency;

"Donation" – means a gift, bequest, financial contribution, or in-kind contributions of tangible property such as art, furniture, equipment, material of historical interest, which has been given voluntarily and without compensation or non-monetary consideration such as advertising, promotion or services;

"Gifts in-Kind" – means a gift of tangible property, other than cash, that are eligible donations;

"Fair Market Value (or Valuation)" – means the highest dollar value that a property would bring in an open and unrestricted market, between the willing buyer and the willing seller who are acting independently of each other. The fair market value of a property does not include taxes paid; taxes are costs incurred by the buyer;

"Non-Qualifying Donations" – means donations for which an Official Income Tax Receipt cannot be issued in accordance with CRA guidelines;

"Official Income Tax Receipt" – means a receipt issued by the City as a Qualified Donee under the *Income Tax Act*, for a Donation made to the City, which may be used by the donor to claim a tax credit on their income tax return.

"Qualified Donee" – An organization that under the *Income Tax Act* may issue Official Income Tax Receipts for Donations it receives from individuals and corporations and registered charities.

Application

1) General

- a) This policy applies to all Donations to the City to support projects, programs or services offered by the City. This policy does not apply to Donations of Land and Buildings.

2) Accepting Donations

- a) The City reserves the right in its sole discretion to accept or decline any Donation. The City Treasurer has the authority to refuse any Donation up to \$100,000 where it is determined that it is not in the City's best interest to accept the Donation. Donations exceeding \$100,000 will be presented to City Council. If a Donation is declined, the City Treasurer shall advise the donor in writing of the reason.
- b) Donations must be for purposes consistent with the City's mandate, programs, services and activities and must be deemed by the City to be in the public interest.
- c) Donations are only to be accepted if the City has, in its sole discretion, the capacity to meet the initial and ongoing costs and obligations associated with the Donation.
- d) The City shall not accept a Donation where any advantage will accrue to the donor or to any person not dealing at arm's length to the donor as a result of the Donation. The City may decline donations from any donor who in the opinion of Council, represents a reputational risk to the City through involvement in activities that are contrary to the values of the City. Examples include but are not limited to:
 - Proven or suspected criminal organizations; and
 - Organizations that promote hatred against individuals or groups.
- e) The City may not accept Donations from individuals or organizations currently in litigation against the City.
- f) The City will accept Donations from community groups, organizations and individuals subject to general direction. Donations where the purpose is not specified are deemed to be undesignated and become contributions to general revenue of the City.
- g) The City will accept the involvement of charitable organizations and community groups in fundraising activities for projects related to the repair, enhancement or construction of City-owned facilities.
- h) Where the donor requests that conditions be placed on the use of the Donation, Legal Services must be consulted to ensure that the appropriate agreements are prepared prior to accepting the Donation.

3) Gifts In-Kind

- a) In-kind Donations to the City must be free and clear of all encumbrances, conditions and restrictions and shall provide that use of the property shall be entirely at the discretion of the City.
- b) Final acceptance of an in-kind Donation will require a transfer of title or ownership through a written agreement as to the future use and disposition except with respect to applicable legislation on preservation, copyright and/or resale. An agreement, satisfactory to the City Treasurer, signed by the Donor and the City shall be required prior to the acceptance of the in-kind Donation.
- c) In the event of a significant donation of land and/or buildings to the City, the Donation of Land and Buildings to the City Policy as amended from time to time shall apply.
- d) Written valuations of in-kind donations shall be submitted with an external appraisal by an independent arm's length qualified appraiser or other third party supporting documentation, satisfactory to the City Treasurer to substantiate fair market value.

4) Official Income Tax Receipts

- a) The City will issue an Official Income Tax Receipt for Donations for City programs or projects that qualify as Charitable Gifts in accordance with the Income Tax Act, regulations and CRA guidelines. The Treasurer shall be responsible for the issuance of all Official Income Tax Receipts in accordance with the following:
 - i) Official receipts for income tax purposes shall be authorized by the City Treasurer for eligible gifts and gifts-in-kind made to the City.

- ii) For gifts in-kind, the fair market value of the Donation must be supported by an independent arm's length appraisal or other third party supporting documentation, satisfactory to the City Treasurer;
 - iii) Receipts shall be made in the name of the donor only;
 - iv) Receipts shall be issued for all donations having a value of \$20.00 or more, if requested by the donor.

 - b) Non-Qualifying Donations, in accordance with the Income Tax Act, regulations and CRA guidelines include:
 - i) Intangibles such as services, time, skills and effort;
 - ii) Donations that are given to the City intended as a flow through to a specified recipient who does not have charitable organization status (a Qualified Donee);
 - iii) Donation of business marketing products such as supplies and merchandise;
 - iv) Sponsorship in the form of cash, goods or services toward an event, project program or corporate asset in return for commercial benefit.
- 5) Records
- a) The City shall maintain proper books and records supporting all Official Income Tax Receipts issued.
 - b) Copies of Official Income Tax Receipts issued must be retained and filed in accordance with the City's records retention policy.
- 6) Accounting
- a) Where donations are received by the City, the funds will be recorded in the appropriate account by the City Treasurer.
 - b) Donations directed for specific operations or for specific capital projects (such as to a community or recreational centre) shall be deposited to the donation revenue account of the appropriate program.
 - c) Donations may be disbursed only for their intended purpose and in accordance with the terms, conditions, restrictions or any agreement governing the use of the Donation.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Security Policy Regarding Letters of Credit and replace it with a new Council policy entitled Security Policy Regarding Letters of Credit.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Security Policy Regarding Letters of Credit and replace it with a new Council policy entitled Security Policy Regarding Letters of Credit;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Security Policy Regarding Letters of Credit is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Security Policy Regarding Letters of Credit is hereby repealed.
3. The policy entitled "Security Policy Regarding Letters of Credit", attached hereto as Appendix "C(31)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(31)"

Security Policy Regarding Letters of Credit

That the following policy be established with respect to a revised security policy regarding the acceptance of letters of credit:

Effective immediately (on an interim basis until December 31, 2001):

1. The City continues to accept letters of credit (l/c) from Schedule I & II banks with standard letter of credit wording.
2. For "Other Financial Institutions", the City accepts only l/c from trust companies or credit unions subject to the following:
 - (a) "cap" on total amount that the City will accept from any particular institution (eg 2% of equity according to most recent, current audited financial statement);
 - (b) "cap" on total amount that the City will accept from this group of organizations (ie. non-Schedule I&II banks) of \$1.5 million;
 - (c) existing l/c's on hand at time of initiation of this policy will be taken into account in computing the "group cap";
 - (d) issuing financial institution must have a corporate presence in the municipality (i.e. head office or branch office located within the City of London); and
 - (e) notwithstanding the above "caps", administration may reject any l/c from a financial institution based on information it obtains that may suggest the financial organization is not in good standing with federal, provincial or municipal authorities (or similar reasons).
3. Policy expires January 1, 2002 coincident with the commencement of the new policy below.

Commencing in 2002:

1. The City continues to accept l/c from Sch.I & II banks who have a credit rating of R1 middle or higher.
2. For "Other Financial Institutions", the City accepts only l/c from trust companies or credit unions subject to the following:
 - (a) where the institution can demonstrate a credit rating provided by a nationally recognized rating agency of R1 middle or higher (or equivalent), Letters of Credit with no aggregate limit, otherwise,
 - (b) the greater of:
 - (i) where the institutions provided Letters of Credit security to the City during 2001, Letters of Credit, the aggregate of which do not exceed the highest total amount of security provided during the year 2001 (ie. the "grandfather provision"); OR
 - (ii) 3% of the Owner's Equity as reported on the most recent audited financial statement, but in any case, not to exceed a limit of \$1.5 million per institution, and subject in all cases to the following restrictions:
 - (1) the financial institution shall provide a copy of the most recent audited financial statements which financial statements must contain an "unreserved" opinion regarding the fairness of the financial statements presented and shall not contain any negative opinion or comment regarding the ability of the institution to conduct business on a going

- concern basis; and
 - (2) issuing financial institution must have a corporate presence in the municipality (ie. head office or branch office located within the City of London); and
 - (3) notwithstanding the above limitations on the amount of security the City will accept, administration may reject any l/c from a financial institution based on information it obtains that may suggest the financial organization is not in good standing with federal, provincial or municipal authorities (or similar reasons); and
 - (4) new credit unions or trust companies that otherwise meet all the requirements above may be permitted, subject to the prior approval of the City Treasurer, to submit development security on behalf of its clients; and
- (c) new credit unions or trust companies (ie. that did not have a previous history of providing l/c to the City of London prior to December 31, 2001) that otherwise meet the requirements of the policy as described above and whose equity exceed \$15 million may, subject to prior approval of the City Treasurer, be provided the opportunity to submit l/c. In granting the approval, the City Treasurer shall determine through whatever means they deems appropriate, whether the subject institution represents an “acceptable credit risk”. That determination will include, as a minimum, a review of audited financial statements of the corporation, and confirmation that the institution’s deposits are insured by either the Canada Deposit Insurance Corporation or Deposit Insurance Corporation of Ontario (as applicable).

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Identification of Operating Surpluses – Boards and Commissions and replace it with a new Council policy entitled Identification of Operating Surpluses – Boards and Commissions.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Identification of Operating Surpluses – Boards and Commissions and replace it with a new Council policy entitled Identification of Operating Surpluses – Boards and Commissions;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Identification of Operating Surpluses – Boards and Commissions is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Identification of Operating Surpluses – Boards and Commissions is hereby repealed.
3. The policy entitled “Identification of Operating Surpluses – Boards and Commissions”, attached hereto as Appendix “C(32)”, is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(32)"

Identification of Operating Surpluses – Boards and Commissions

That a policy be established requiring the City's Boards and Commissions to identify operating surpluses from the year ending at the time that they submit their operating budgets to the City of London for the next year on the understanding that the use or disposition of any surpluses will be determined through collaboration between the City and the particular Board or Commission.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Lease Financing Policy and replace it with a new Council policy entitled Lease Financing Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Lease Financing Policy and replace it with a new Council policy entitled Lease Financing Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Lease Financing Policy is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Lease Financing Policy is hereby repealed.
3. The policy entitled "Lease Financing Policy", attached hereto as Appendix "C(33)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(33)"

Lease Financing Policy

1. Policy Statement

This policy constitutes The City of London's (the "City") statement of policies and goals relating to the use of Lease Financing Agreements, in accordance with Ontario Regulation 653/05 made under the *Municipal Act, 2001*.

2. Definitions

"Lease Financing Agreement" - means a financial agreement for the purposes of obtaining long term financing of a capital undertaking of the municipality.

"Material Impact" - means the costs or risks that significantly affect, or would reasonably be expected to have a significant effect, on the City's debt and financial obligation limit as determined by O. Reg. 403/02.

"Combined Material Impacts" - means the costs or risks of a proposed Non-Material Lease which when combined with all other Non-Material Leases entered into or proposed to be entered into in a particular year by the City.

"Non-Material Lease" - means a Lease Financing Agreement that will not result in a Material Impact on the finances of the City and includes:

- (i) rental agreements which have a term of less than one year and the cancellation of which results in no financial penalty to the City;
- (ii) commercial real property leases with a term of five years or less;
- (iii) Lease Financing Agreements requiring annual payments for an individual lease of less than \$250,000;
- (iv) Lease Financing Agreements, where the net present value of all lease payments, including possible extensions, renewals and bargain purchase options, is less than \$2 million in the year the Lease Financing Agreement is entered into.

"Material Lease" - means a Lease Financing Agreement that is not a Non-Material Lease.

3. Purpose

The purpose of this policy is to provide guidance to staff when contemplating Lease Financing Agreements for the provision of municipal equipment and facilities. Lease Financing Agreements may be preferred to outright purchase and/or debt financing of equipment and facilities. The City may enter into Lease Financing Agreements in order to acquire the rights to use capital property and equipment, including some or all of the benefits and risks of ownership for specific periods of time and stipulated rental payments.

4. Statement of Policies and Goals

- (a) The following goals and objectives will be used in the consideration and evaluation of all Lease Financing Agreements:
 - (i) The City shall only consider Lease Financing Agreements that prioritize the City of London's governing principles;
 - (ii) Lease Financing Agreements shall be entered into with care and prudence, applying experience and professional judgement to each agreement reviewed, with the best interest of the City's ratepayers in mind;
 - (iii) All lease financing activities shall adhere to statutory requirements as governed by the Ontario *Municipal Act, 2001* as well as other Council approved policies;

- (iv) Consideration will be given to its impact on future ratepayers in order to achieve an appropriate balance between lease financing and other forms of funding;
 - (v) The City shall manage the exposure to financial risk and the financial impact the Lease Financing Agreements will have on current and future fiscal years.
- (b) Without limitation, the City may enter into Lease Financing Agreements:
 - (i) for the purpose of obtaining long-term financing of a capital undertaking;
 - (ii) to finance equipment, buildings, land or other assets that the City does not have a long-term interest in or may not be able to acquire through other means; or
 - (iii) where a lease provides material and measurable benefits compared with other forms of financing.
 - (c) It is the opinion of the Council and the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate that the category of Lease Financing Agreements defined as Non-Material Leases in this policy will not result in a Material Impact for the City.
 - (d) It is the opinion of the Council and the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate that Non-Material Leases that require or may require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected and that have a Combined Material Impact less than 20% of the City's annual debt and financial obligation limit determined in accordance with O. Reg. 403/02 will not result in a Material Impact for the City.

5. Application of the Policy (General Provisions - All Lease Financing Agreements)

- (a) All Lease Financing Agreements shall be reviewed by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate who shall determine:
 - (i) if this policy applies;
 - (ii) if the Lease Financing Agreement is a Material or Non-Material Lease;
 - (iii) the financial and other risks of the Lease Financing Agreement, compared to other forms of financing, which shall include:
 - a. The ability for lease payment amounts to vary if based on changes in an underlying benchmark debt instrument (generally expressed as a particular Government of Canada Bond);
 - b. The ability for lease payments to vary based on changes in the assumed residual values of the asset being leased;
 - c. Uncertainty over leasing costs if contract needs are to be extended or renewed. The normal practice of the City will be to negotiate these costs prior to the Lease Financing Agreement being executed; and
 - d. The potential for the seizure and removal of leased equipment if the leasing company goes into default of its obligations to creditors, and its creditors have the legal right to seize assets of the leasing company. The practice of the City will be to assess

the financial strength of the normal leasing company prior to the leasing agreement being executed.

- (b) All Lease Financing Agreements shall include a schedule of all fixed payments, if any, required for the term and any extensions or renewal.
- (c) The requirements in section 6 apply to all Lease Financing Agreements except;
 - (i) Non-Material Leases that do not or may not require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected; or
 - (ii) Non-Material Leases that require or may require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected and that have a Combined Material Impact less than 20% of the City's annual debt and financial obligation limit determined in accordance with O. Reg. 403/02.
- (d) A Lease Financing Agreement to which this policy does not apply must comply with any other applicable City policies or procedures, including without limitation to any requirements for review, approval and reporting to Council.

6. Lease Financing Agreements Approval Process

- (a) This section applies to:
 - (i) all Material Leases; and
 - (ii) all Non-Material Leases that require or may require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected and that have a Combined Material Impact greater than 20% of the City's annual debt and financial obligation limit determined in accordance with Ontario Regulation 403/02.
- (b) Before entering into a Lease Financing Agreement the Corporation shall:
 - (i) have the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate prepare a report with a recommendation assessing, in their opinion, the costs and financial and other risks associated with the proposed Lease Financing Agreement including any possible extensions or renewals which report shall include:
 - a. a comparison between the fixed and estimated costs and the risks associated with the proposed Material Lease and those associated with other methods of financing;
 - b. a statement summarizing, as may be applicable, the effective rate or rates of financing for the Material Lease, the ability for lease payment amounts to vary, and the methods or calculations, including possible financing rate changes, that may be used to establish that variance under the lease;
 - c. a statement summarizing any contingent payment obligations under the lease that, in the opinion of the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate, would result in a Material Impact for the municipality, including lease termination provisions, equipment

loss, equipment replacement options and guarantees and indemnities;

- d. a summary of the assumptions applicable to any possible variations in the lease payment and contingent payment obligations; and
 - e. any other matters the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate or City Council considers advisable.
- (c) Obtain legal advice and financial advice with respect to the proposed agreement.
- (d) Consider if the scope of the proposed transaction warrants obtaining legal advice or financial advice with respect to the proposed agreement that is from a source independent of the source of the advice mentioned in paragraph (c) above.
- (e) Consider, as of the date of the report under paragraph (i) above, whether the costs of financing for the proposed agreement are lower than other methods of financing available to the City and whether the risks associated with the proposed agreement are reasonable. Costs of any legal or financial advice would also be included in the costs of financing.
- (f) If at any time after a report is made but before the proposed Lease Financing Agreement is entered into, the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate becomes of the opinion that a changed circumstance with respect to the proposed Lease Financing Agreement may result in a Material Impact for the City, the report shall to updated as soon as reasonably possible and present the updated report to Council.

7. Annual Report to Council

- (a) Once in every fiscal year or more often if Council requires, the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate shall provide a report to Council containing the following:
- (i) a description of the estimated proportion of the total financing arrangements of the municipality that is undertaken through Lease Financing Agreements to the total long-term debt of the City;
 - (ii) a description of the change, if any, in that estimated proportion since the previous year's report;
 - (iii) a statement by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate as to whether, in their opinion, all Lease Financing Agreements were made in accordance with this policy; and
 - (iv) any other information that may be requested by Council or that, in the opinion of the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate, should be recorded.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Multi-Year Budget Policy and replace it with a new Council policy entitled Multi-Year Budget Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Multi-Year Budget Policy and replace it with a new Council policy entitled Multi-Year Budget Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Multi-Year Budget Policy is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Multi-Year Budget Policy is hereby repealed.
3. The policy entitled "Multi-Year Budget Policy", attached hereto as Appendix "C(34)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Multi-Year Budget Policy

1.0 BACKGROUND & AUTHORITY

Municipal Act, 2001, Section 291(1) authorizes a municipality to prepare and adopt a budget covering a period of two to five years in the first year to which the budget applies or in the year immediately preceding the first year to which the budget applies. The process for preparing and adopting a multi-year budget and the requirements for a municipality's budget are prescribed in the *Municipal Act, 2001*.

If a municipality chooses to adopt a multi-year budget, establishing an annual review process is mandatory as outlined in section 291(4) of the *Municipal Act, 2001*. The annual review process requires Council to readopt the budget for that year and subsequent years that the budget applies in order to ensure the municipality has sufficient funds to pay all debts, amounts required for sinking funds or retirement funds, and amounts required for boards, commissions or other body. Also, pursuant to section 290(6) of the *Municipal Act, 2001* the passing of a multi-year budget does not limit the power of a municipality to amend or revoke a budget adopted under section 290 nor does it remove the obligation of a municipality to levy taxes in each year.

Integration and alignment with Council's Strategic Plan to the multi-year budget provides links to the delivery of the Strategic Plan with the funding requirements. Benefits of multi-year budgeting include the following:

- Alignment of longer-term goals and objectives with longer-term funding plans;
- Greater certainty is provided to tax payers/residents about the future direction of taxes and the timing of implementation of the Strategic Plan;
- Improved accountability and transparency over spending plan changes; and
- Prioritization principles aligned with service delivery principles that include:
 - Risk profile
 - Degree and speed of implementation.
 - Balancing competing needs across various strategic areas of focus.
 - Impact to the community.

2.0 PURPOSE

The purpose of the multi-year budget policy is to define the approach to be used for multi-year budget planning and Council approvals.

3.0 SCOPE

The scope of multi-year budgeting, including both operating and capital, extends to all City of London civic service areas, boards, and commissions.

4.0 APPROACH / PROCEDURE

Approvals / Adjustments To Multi-Year Budget:

- 1) A multi-year budget is developed covering a four year time period beginning in the second year of a new Council term. Annual updates will be brought forward for Council consideration during the remaining Council term. The first year of a new Council term will be to reconfirm the fourth year of the multi-year budget.
- 2) Early in a new Council term, the Council will develop its Strategic Plan.
- 3) Council will approve a four year average annual tax levy adjustment from rates that addresses municipal inflationary pressures and funding for new strategic initiatives that are aligned with Council's Strategic Plan.

- 4) Civic Administration will prepare a business plan that clearly states the current state and future direction of the service. The business plan identifies the strategies and priorities that are driving the strategic direction of the service. All strategies and priorities must be aligned with the Council's Strategic Plan.
- 5) Civic Administration will present to Council a budget that is in compliance with the *Municipal Act, 2001*. The budget will contain adjustments to reflect inflationary pressures and strategic initiatives that would further adjust the budget requirement. Each strategic initiative submitted for Council consideration shall be supported with a comprehensive business case.
- 6) In the first year, the Civic Administration will be seeking approval of a multi-year budget for a four year period. Commencing in the second year and in each subsequent year of the multi-year budget, the Council is required by the Municipal Act, 2001 to review and readopt the budget for that year. As part of the review process, the Council is required to make changes that are required for the purpose of making the budget compliant with the provisions of the Act which include ensuring that the municipality has sufficient funds to pay all debts, amounts required for sinking funds or retirement funds and amounts required for boards, commissions or other bodies. As such, Council will have the opportunity to make other amendments or fine-tune the budget annually. In addition to the matters required to be addressed by the Municipal Act, 2001, the scope of annual budget changes may include, but are not limited to, the following:
 - a) Changes to Council priorities impacting municipal services that require amendments to business plans and budgets;
 - b) External factors such as changes to Federal/Provincial policies that impact municipal costs, unanticipated changes in purchased services such as insurance premiums, or changes imposed on pension plan contributions;
 - c) Unanticipated changes to economic forecasts that impacts municipal costs or revenues. For example, significant changes to interest rates may result in higher costs of borrowing;
 - d) Changes to financing contained in the operating and capital budget as a result of capital project adjustments;
 - e) Proposed changes to future year's operating budgets should only be brought forward and approved once per year. Adjustments are limited to once per year, during the annual update period, to ensure that all requests are considered together;
 - f) Capital budget adjustments can be brought forward at any time during the year, with an identified source of financing, and are not limited to the annual update period. Capital budgeting, by its very nature, is more time sensitive to approvals in order to ensure projects are not delayed (ex. limited construction season);
 - g) Changes to budgets resulting from the annual service review process that employs a zero-based budgeting approach; and
 - h) Changes to budgets resulting from the allocation of assessment growth funding.
- 7) The Treasurer or designate is authorized to make adjustments considered "housekeeping" in nature.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Surplus/Deficit Policy and replace it with a new Council policy entitled Surplus/Deficit Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Surplus/Deficit Policy and replace it with a new Council policy entitled Surplus/Deficit Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Surplus/Deficit Policy is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Surplus/Deficit Policy is hereby repealed.
3. The policy entitled "Surplus/Deficit Policy", attached hereto as Appendix "C(35)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(35)"

Surplus/Deficit Policy

1.0 POLICY STATEMENT AND PURPOSE

The purpose of this policy is to establish a priority framework for the allocation of any operating surpluses and funding for any operating deficits.

2.0 SCOPE

This policy applies to the annual operating property tax supported budget.

3.0 PRINCIPLES

With the overarching principle that all surpluses and deficits be treated as one-time in nature, the one-time allocation and funding principles of the Surplus/Deficit Policy are as follows:

In A Year Of Surplus

- a) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate be authorized to contribute an amount to the Operating Budget Contingency Reserve (OBCR) not to exceed the reserve target balance of 1.5% - 2.0% of the property tax gross expenditure budget, subject to the contribution to the OBCR being confirmed by the Municipal Council.
- b) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate be authorized to contribute an amount to the Unfunded Liability Reserve not to exceed any operational savings realized from personnel and contingency budgets at year-end.
- c) Remaining surplus to be reported in the 4th Quarter Operating Budget Status Report with the surplus contributed to the OBCR to balance year-end operations. The remaining surplus allocations shall be drawn down from the OBCR and allocated in accordance with the following proportions:
 - i. 50% of any operating surplus shall be applied to reduce authorized but unissued debt, it being noted that debt reduction will reduce future year's debt servicing costs.
 - ii. 25% of any operating surplus shall be contributed to the Community Investment Reserve Fund to be allocated at the discretion of Municipal Council.
 - iii. 25% of any operating surplus shall be contributed to the Capital Infrastructure Gap Reserve Fund to mitigate growth in the infrastructure gap.

In A Year Of Deficit

- d) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate be authorized to drawdown from the OBCR to balance year-end operations.

4.0 REPORTING

- e) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate shall strive to provide the following reports related to year-end projected surplus or deficit positions within 45 days of the close of the reporting period:
 - i. Second Quarter Operating Budget Status Report to be submitted at the discretion of the City Treasurer (January 1st to June 30th)
 - ii. Third Quarter Operating Budget Status Report (January 1st to September 30th)
 - iii. Fourth Quarter Operating Budget Status Report (January 1st to December 31th)

5.0 TRANSITION TO NEW SURPLUS/DEFICIT POLICY

As part of the existing Surplus/Deficit Policy (passed by Municipal Council on December 3, 2007), an annual draw of \$850 thousand from the OBCR was established. This annual draw is recognized as revenue each year, reducing the property tax levy requirement.

To mitigate budget pressures within the implementation of the City's first multi-year budget (2016-2019), the plan is to phase out the \$850 thousand draw from the OBCR by the year 2021. This approach provides needed continuity to the City's existing budget framework, while ensuring the elimination of this draw occurs in a reasonable period.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Assessment Growth Policy and replace it with a new Council policy entitled Assessment Growth Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Assessment Growth Policy and replace it with a new Council policy entitled Assessment Growth Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Assessment Growth Policy is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Assessment Growth Policy is hereby repealed.
3. The policy entitled "Assessment Growth Policy", attached hereto as Appendix "C(36)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "C(36)"

Assessment Growth Policy

1.0 POLICY STATEMENT AND PURPOSE

The purpose of this policy is to establish a priority framework for the allocation of assessment growth funds.

2.0 SCOPE

This policy applies to the property tax supported budget.

3.0 PRINCIPLES

- a) Civic service areas, boards and commissions that incur costs to provide existing core services to new growth areas are required to submit business cases to the Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate.
- b) The first available assessment growth funds are applied to business cases approved by the Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate.
- c) If business cases submitted by civic service areas, boards and commissions exceed available assessment growth funding then:
 - I. Approved business cases will be allocated funding according to the following priority order, it being noted that funding allocations to service areas for costs due to a growing and expanding City may be either one-time or permanent in nature:
 - i. Flow through costs for business cases funded through assessment growth in the prior year;
 - ii. Services that are aligned with those supported through Development Charges; and,
 - iii. Business cases will be evaluated as to whether the service and/or funding could be deferred to next year and whether significant service disruptions would occur if the service did not receive the current year growth funding.
 - II. Unfunded business cases will be resubmitted for consideration in the following year.
- d) If assessment growth funding exceeds the accumulated growth costs of civic service areas, boards and commissions in any one budget year, the balance available will be applied in that year as follows:
 - I. 50% to reducing authorized debt on a one-time basis; and,
 - II. 50% to the Capital Infrastructure Gap Reserve Fund on a one-time basis to mitigate growth in the infrastructure gap.
- e) Excess assessment growth funding not allocated permanently, will be carried forward to the following year as a permanent source for future growth costs.

4.0 BUDGETING FOR ASSESSMENT GROWTH

- a) For forecast purposes, assessment growth will be assumed to be fully allocated to growth costs. Assessment growth and its allocation will be reported annually after the assessment roll is finalized.

5.0 POLICY REVIEW

This policy shall be presented to Council for review every four years, in the first year of each elected Council.

Bill No.
2017

By-law No. CPOL.-

A by-law to revoke and repeal Council policy related to Debt Management Policy and replace it with a new Council policy entitled Debt Management Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to revoke and repeal Council policy related to Debt Management Policy and replace it with a new Council policy entitled Debt Management Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. Any policy of The Corporation of the City of London approved, adopted, or amended by Municipal Council on a day prior to the day this by-law is in force and effect, pertaining to Debt Management Policy is hereby revoked.
2. Any by-law of The Corporation of the City of London in force and effect on a day prior to the day this by-law is in force and effect, which approves, amends or adopts a Council policy pertaining to Debt Management Policy is hereby repealed.
3. The policy entitled "Debt Management Policy", attached hereto as Appendix "C(37)", is hereby adopted.
4. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Debt Management Policy

1.0 POLICY PURPOSE

The purpose of this policy is to establish objectives for debenture and other forms of financing necessary to meet The Corporation of the City of London’s (the “City”) infrastructure and operating requirements as prescribed by the relevant sections of the Municipal Act, 2001, c 25 (the “Act”), specifically Part XIII Debt and Investment, and the applicable regulations thereunder.

This policy also establishes strategies for managing debt, including establishing parameters related to new debt being authorized or issued and ensuring that debt is at a level that will not impair the financial position or the credit rating of the City.

2.0 SCOPE

This policy applies to all financial obligations made by the City on its own behalf and on behalf of its agencies, boards and commissions as well as Elgin Area Primary Water Supply and Huron Primary Water Supply System in the City’s capacity as the Administering Municipality, in accordance with the Transfer Orders issued September 15, 2000.

The following types of financial obligations are excluded from this policy;

1. Lease Financing Agreements;
2. Financial Guarantees; and
3. Letters of Credit

3.0 DELEGATION OF AUTHORITY

The City Treasurer shall have overall responsibility for the debt program. The City Treasurer or designate shall have the authority to implement the debt program and establish procedures consistent with this policy.

4.0 OBJECTIVES

The primary objectives of this policy are as follows;

1. Adherence to statutory requirements

The City shall secure temporary or long-term borrowing for municipal purposes as prescribed by the Act, specifically Part XIII Debt and Investment and the applicable regulations thereunder, including, but not limited to Ontario Regulation 403/02 Debt and Financial Obligation Limits; Ontario Regulation 438/97 Eligible investments and Related Financial Agreements; Ontario Regulation 247/01 Variable Interest Rate Debentures and Foreign Currency; and Ontario Regulation 276/02 Bank Loans, as amended.

2. Minimize long-term cost of financing

The City shall ensure that the debt program uses a systematic approach that minimizes the impact of debt servicing costs on the tax levy.

5.0 STRATEGY

1. Limiting and Reducing Authorized Debt

- a. The City shall limit the amount of debt authorized on an annual basis by applying debt financing to projects in the capital plan in a manner consistent with the following;
 - i. Debt financing shall be avoided as a source of funding for lifecycle renewal

projects;

- ii. Debt financing may be utilized as a source of funding for growth projects; and
 - iii. Debt financing may be utilized as a source of funding for service improvement projects.
- b. The City Treasurer shall have the authority to change the above application of debt financing as a source of funding for projects in the capital plan.
 - c. The City shall limit debt financing as a source of funding in the capital plan by way of an internal debt cap. The City Treasurer shall have the authority to set and modify the internal debt cap such that the internal debt cap meets the City's long-term financing strategies and does not contravene the Act or regulations thereunder.
 - d. Authorized debt shall be reduced as follows;
 - i. As prescribed by the Council approved Surplus/Deficit and Assessment Growth Policies.
 - ii. By the amount of surplus in the capital financing budget in a given year, unless otherwise directed by the City Treasurer.

2. Minimizing Risk Associated with Issuing Debt

- a. The City shall not issue long-term financing on projects/capital works until they are substantially complete or a discernable phase is complete.
- b. The timing and amount of debt issued in a given year shall be at the discretion of the City Treasurer or designate after consideration of cash flow requirements, budget constraints, and market conditions. This discretion must be exercised in accordance with the Act and the regulations.
- c. The City's general practice shall be to issue debt that is denominated in Canadian dollars with fixed interest rates over the term. Notwithstanding, if a borrowing structure is presented for which there is a material financial advantage and/or it is deemed prudent for the City to issue debt that is subject to interest rate fluctuations, the City may, at the discretion of the City Treasurer, consider entering into this type of arrangement. Variable interest rate structures must be in accordance with Ontario Regulation 247/01.
- d. Debt financing shall be secured for either a temporary or long-term basis as follows;
 - i. Temporary financing instruments may be issued either for operating or capital purposes. Temporary financing for amounts that the City considers necessary to meet the expenses during the current fiscal year until the receipt of taxes and other revenues shall be in accordance with section 407 of the Act and the temporary borrowing by-law passed by Council each year.
 - ii. Long-term financing of capital works which are deemed neither temporary operating and/or temporary capital financing may be secured from sources that comply with the Act and the regulations thereunder.

3. Minimizing Debt Servicing Costs

- a. The City Treasurer shall set debt servicing cost targets for each rate base (i.e. property tax supported, wastewater, water, and development charges) and these targets shall be a general guideline and utilized in the development of the City's budgets. These targets shall align with the City's long-term financing strategies and be subject to the requirements of the Act.
- b. The City shall strive to maintain a strong credit rating to assist in securing a favourable cost of borrowing.
- c. The City shall have a term preference of 10 years for debentures or other types of long-term financing for capital works. The term of long-term financing shall not extend

beyond the lifetime of the capital work for which the debt was incurred and shall not exceed 40 years in accordance with Section 408 (3) of the Act. The term preference as well as structure of long-term financing instruments will be at the discretion of the City Treasurer or designate and subject to the requirements of the Act.

- d. The City shall monitor debt servicing costs and annual repayment limits as prescribed under Ontario Regulation 403/02: Debt and Financial Obligation Limits. The City shall also utilize other benchmarks, measures, indicators, ratios and limits as determined relevant and appropriate by the City Treasurer or designate to monitor debt levels and servicing costs. These measures shall include, but are not limited to debt servicing costs as a percentage of gross operating expenditures, debt financing as a percentage of the capital budget, debt per household and debt servicing costs as a percentage of revenue.

6.0 REPORTING

In addition to any information requested by Council, or any information that the City Treasurer considers appropriate, the following shall be reported to Council;

1. The status of issued and authorized debt as well as debt servicing costs through the capital and operating monitoring reports;
2. Projections for debt levels and debt servicing costs through the budget process; and
3. Debenture issuances.

7.0 POLICY REVIEW

This debt management policy shall be reviewed at a minimum every four years by the City Treasurer and be updated as deemed appropriate or required.

8.0 DEFINITIONS

Annual Repayment Limit: Under Regulation 403 /02: Debt and Financial Obligation Limits, this limit represents the maximum amount which the municipality has available to commit to payments relating to debt and financial obligations without seeking the approval of the Ontario Municipal Board. This limit is provided annually to a municipality by the Ministry of Municipal Affairs and Housing, additionally this limit must be updated by the City Treasurer prior to Council authorizing any increase in debt financing for capital expenditures.

Authorized Debt: Council approved debt financing as a source of funding for capital projects.

Capital Financing: A generic term for the financing of capital assets. This can be achieved through a variety of sources such as tax levy, grants, reserve funds and debt.

Capital Plan: The budget for capital projects i.e. the expenditures and resources required for capital projects.

Debenture: A formal written obligation to pay specific sums on certain dates. In the case of a municipality debentures are typically unsecured i.e. backed by general credit rather than by specified assets.

Debt Management Policy: Refers to this document.

Debt Program: Refers to the practices related to authorizing debt, issuing debt and monitoring debt. For example, part of the debt program includes issuing debt and the particulars related to issuing debt specifically the amount, timing and structure of the issuance. The debt program is derived from the objectives and strategies in debt policy.

Debt Servicing Costs: Cash that is required to cover the repayment of interest and principal on a debt and other costs associated with issuing debt.

Financial Guarantee: An agreement whereby the City will take responsibility for the payment of debt in the event that the primary debtor fails to perform.

Growth Project: Projects that extend services into newly developed areas of the city, for

example road widening to handle additional traffic from new subdivisions.

Internal Debt Financing Cap: The City's internal limit on debt as a source of capital financing for capital projects which is set by the City Treasurer. This limit is not referring to limits imposed by the Act or regulations thereunder.

Issued Debt: A fixed obligation, such as a debenture, notes or other agreements between the issuer (the borrower) and the lender. Municipalities issue debt to finance a variety of projects such as infrastructure projects.

Lease Financing Agreement: A financial lease agreement for the purposes of obtaining long term financing of a capital undertaking of the municipality. For example leasing of computer equipment.

Letter of Credit: A binding document from a bank guaranteeing that a buyer's payment to a seller will be received on time and for the correct amount. In the event that the buyer is unable to make payment on the purchase, the bank will be required to cover the full or remaining amount of the purchase (debt).

Lifecycle Renewal Project: Projects that maintain the infrastructure that is in place today, for example resurfacing roads or replacing roofs.

Service Improvement Project: Projects that provide a new or improved level of service or address an emerging need, for example purchasing property for industrial land.

Appendix 'D'

Bill No.
2017

By-law No. CPOL.-

A by-law to adopt a new Council Policy entitled
Corporate Plaques and Recognitions Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to adopt a new Council policy entitled Corporate Plaques and Recognitions Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. The policy entitled "Corporate Plaques and Recognitions Policy", attached hereto as Appendix "D(1)", is hereby adopted.
2. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "D(1)"

Corporate Plaques and Recognitions Policy

1. All gifts, certificates, plaques and other forms of recognition presented to the City of London from time to time shall be placed in the control of the City Clerk for cataloguing, and for display, storage and maintenance as appropriate.
2. Separate individual plaques shall be issued by the London Advisory Committee on Heritage to identify designated buildings in the community as being of architectural significance.
3. Separate individual plaques shall be issued by the City Council in recognition of recipients of the Diversity, Race Relations and Inclusivity Award and the Outstanding London Ambassador Award.

Bill No.
2017

By-law No. CPOL.-

A by-law to adopt a new Council Policy entitled
Outstanding London Ambassador Award Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to adopt a new Council policy entitled Outstanding London Ambassador Award Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. The policy entitled "Outstanding London Ambassador Award Policy", attached hereto as Appendix "D(2)", is hereby adopted.
2. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

Appendix "D(2)"

Outstanding London Ambassador Award Policy

An "Outstanding London Ambassador Award" shall be presented on an annual basis to an individual, business or organization in recognition of outstanding contributions that bring a positive national and international recognition to London that may result in encouraging people to move to London, businesses to invest in London, or encourage people to visit London.

An Award Committee appointed by the Municipal Council shall review nominations for the Award and make a recommendation to the Municipal Council, through the appropriate Standing Committee of Council, with respect to the preferred recipient.

Nominations shall be submitted by an individual, business or organization from London to the City Clerk by October 31st each year, for consideration by the Award Committee.

The Award Committee, when deliberating on the Outstanding London Ambassador Award, shall consider the degree to which the individual, organization or business has brought positive recognition to London and the resulting benefits to the City of London.

An individual, business or organization shall only be eligible to receive the Outstanding London Ambassador Award once.

Bill No.
2017

By-law No. CPOL.-

A by-law to adopt a new Council Policy entitled
Community Arts Investment Program Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to adopt a new Council policy entitled Community Arts Investment Program Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. The policy entitled "Community Arts Investment Program Policy", attached hereto as Appendix "D(3)", is hereby adopted.
2. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

COMMUNITY ARTS INVESTMENT PROGRAM (CAIP) POLICY

PURPOSE: This program provides guidelines and criteria for The Corporation of the City of London to:

- provide operating financial assistance to non-profit arts organizations or artists within the London arts community;
- encourage public awareness and appreciation of the arts;
- increase access to quality local arts programming; and,
- enhance London's desirability as a community.

SCOPE: This program will not include:

- festivals;
- museums;
- The London Regional Art and Historical Museum (Museum London);
- cultural organizations;
- organizations or artists not located within the City of London.

However, these types of organizations, if they meet the program criteria, may continue to seek operational financial assistance from other existing City programs.

For the purposes of this program, CAIP applies to a local arts organization or artist(s) who operates on a not-for-profit basis and who has operating revenues that are less than \$1,000,000.

Arts festivals and events are permitted to apply to this category. Arts festivals and events are defined as: "having a clearly articulated mandate which focuses on a specific art form (or forms) that is thematically linked under artistic direction. Arts festivals and events offer unique opportunities for audiences to experience particular kinds of work, e.g.: music, theatre, visual art, literature, dance or film. These art form specific festivals and events showcase the arts and artists available in London to both local residents and visitors alike";

GUIDELINES:

- a) Annual funding will be made available by the City, subject to Council approval of funding through the Multi-Year Budget;
- b) Applications will be reviewed and administered, in a City-wide context, by a peer assessment group. This group, referred to as the London Arts Council, whose jury members are representative of arts, business and the general community. Conflict of interest guidelines are maintained by the London Arts Council.
- c) Funding awarded by the London Arts Council must be intended and used to further an organization's non-profit activities and must not, either directly or indirectly, be intended or used to further a profit venture or intended or used for capital purposes including, but not restricted to, the purchase of land, equipment, fixtures or physical facilities. An application for assistance under the Community Arts Investment Program does not preclude an organization from applying for capital assistance to the City of London.
- d) The London Arts Council will provide the City of London Culture Office with an annual accounting of the allocation of Community Arts Investment Grants. The accounts will also include an identification of the grants requested, which were reduced or refused.
- e) The successful organization or artist(s) will acknowledge City support in its promotional materials in a manner acceptable to the City's Communications Division.
- f) These guidelines shall be reviewed at least once every three years.

CRITERIA:

The London Arts Council will take the following criteria into consideration when reviewing grant applications:

- a) Community:
 - i) the organization or artist(s)'s activities are directed to the improvement of the quality of life in London;
 - ii) the organization or artist(s) conducts its activities primarily in London and for the benefit of the residents of London;
 - iii) the organization or artist(s) encourages the participation of Londoners; and
 - iv) the organization or artist(s) expends its financial resources in London.

- b) Activities and Services:
 - i) the activities and services are of a quality to merit public support;
 - ii) the activities of the organization or artist(s) do not substantially duplicate the efforts of other organizations or other government supported individuals or organizations;
 - iii) the organization collaborates with other non-profit organizations in pursuing its objectives;
 - iv) the organization or artist's activities bring provincial, national, or international recognition to London;
 - v) the organization or artist(s) demonstrates development and innovation in its programming and activities; and
 - vi) the organization or artist(s) provides and supports instructional programs relative to its objectives and activities for the residents of London through outreach activities and programming.

- c) Management and Financial Responsibility:
 - i) the organization is managed in a responsible manner;
 - ii) the organization or artist(s) demonstrates initiative and success in generating revenue outside of the Community Arts Investment Program;
 - iii) the organization or artist(s) measures the success of the activities and/or programs on an ongoing basis and shares the results of these measures with the City and other interested stakeholders; and
 - iv) the organization is encouraged to consider providing indemnity insurance for the person who sit on its Board of Directors.

- d) Volunteers:
 - i) the organization actively and successfully encourages volunteerism.

PROCEDURES:

- a) The organization or artist(s) will submit a grant application for the next calendar year to the London Arts Council. The application form and submission process will be determined by the London Arts Council subject to the approval of the Culture Office.

- b) The London Arts Council will provide an annual information report to the Culture Office of the City of London by the end of each year. This information report will contain the identification of the name and dollar value of the funding requests received to date as well as all funding allocated through granting streams and supported programs of CAIP.

- c) The current year's grant allocation for CAIP is subject to the approval of the City Council through its annual budget process and will be provided for distribution purposes to the London Arts Council upon budget approval.

Bill No.
2017

By-law No. CPOL.-

A by-law to adopt a new Council Policy entitled
Capital Budget and Financing Policy.

WHEREAS section 5(3) of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides that a municipal power shall be exercised by by-law;

AND WHEREAS section 9 of the *Municipal Act, 2001*, S.O. 2001, C.25, as amended, provides a municipality with the capacity, rights, powers and privileges of a natural person for the purpose of exercising its authority;

AND WHEREAS the Council of The Corporation of the City of London wishes to adopt a new Council policy entitled Capital Budget and Financing Policy;

NOW THEREFORE the Municipal Council of The Corporation of the City of London enacts as follows:

1. The policy entitled "Capital Budget and Financing Policy", attached hereto as Appendix "D(4)", is hereby adopted.
2. This by-law shall come into force and effect on the date it is passed.

PASSED in Open Council on May 16, 2017.

Matt Brown
Mayor

Catharine Saunders
City Clerk

First Reading – May 16, 2017
Second Reading – May 16, 2017
Third Reading – May 16, 2017

CAPITAL BUDGET AND FINANCING POLICY

1.0 POLICY STATEMENT AND PURPOSE

The purpose of this policy is to establish a framework for capital budgeting and financing in order to ensure capital investments are budgeted and monitored with a consistent approach, financed in a manner to ensure a funding mix that places a priority on maintaining long-term financial sustainability, and guidelines are established for closing out capital projects.

2.0 DEFINITIONS

"City" means The Corporation of the City of London;

"City Treasurer" means the City's Managing Director, Corporate Services and City Treasurer, Chief Financial Officer;

"Development Charges Background Study" – means the background study undertaken by the City for its current Development Charges By-law;

"Growth" – means a capital project that will service growth and is included in the Development Charges Background Study;

"Life Cycle Renewal" – means a capital project for the rehabilitation or renewal of existing infrastructure due to obsolescence, health and safety concerns, or general deterioration of assets related to use or age;

"Service Improvement" - means a capital project that provides a new or expanded level of service to the municipality or enhances an operational service area.

3.0 APPLICATION AND SCOPE

This policy applies to all capital projects undertaken or administered by the City or capital projects that received funding from the City and are undertaken or administered by any of the City's Local Boards, Commissions, Agencies or Corporations.

4.0 STANDARD OF CARE

The City Treasurer shall have overall responsibility for the capital budget and financing program. The City Treasurer or designate shall have the authority to implement the capital budget and financing program and establish procedures consistent with this Policy.

5.0 PRINCIPLES

Capital Budget Classifications

(a) Each capital project shall be classified as:

- i. Lifecycle Renewal;
- ii. Growth; or,
- iii. Service Improvement

Capital Budget Financing

(a) The following guidelines be used when determining the funding mix for each capital budget classification:

Lifecycle Renewal

- i. The funding options for Lifecycle Renewal capital budgets shall be allocated in

the following 'priority order':

Non Tax/Rate Supported

- A. Eligible non-tax funding sources such as senior government funding.

Tax/Rate Supported

- B. Capital levy.
- C. Eligible reserve funds, subject to adequate balances as determined by the City Treasurer or designate.
- D. Debt financing for Lifecycle Renewal capital budgets shall only be authorized after all other funding options have been applied and exhausted, noting that the objective is to phase out debt financing from this classification.

Growth

- ii. The funding options for the non-growth component of the Growth capital budgets, as determined by the Development Charges Background Study, shall be allocated in the following 'priority order':

Non Tax/Rate Supported

- A. Eligible non-tax funding sources such as senior government funding, provided that non-tax funding sources are used first to reduce the total expenditure before the growth/non-growth funding splits are applied.

Tax/Rate Supported

- B. Capital Levy after consideration is first given to Lifecycle Renewal capital budgets.
- C. Eligible reserve funds, subject to adequate balances as determined by the City Treasurer or designate.
- D. Debt financing, provided that all other funding sources are exhausted.

- iii. The funding options for the growth component of the Growth capital budgets, as determined by the Development Charges Background Study, shall be funded from development charges supported funding sources, such as but not limited to eligible restricted reserve funds and debt financing.

Service Improvement

- iv. The funding options for Service Improvement capital budgets shall be allocated in the following 'priority order':

Non Tax/Rate Supported

- A. Eligible non-tax funding sources such as senior government funding.

Tax/Rate Supported

- B. Capital Levy after consideration is first given to Lifecycle Renewal capital budgets.
- C. Eligible reserve funds, subject to adequate balances as determined by the City Treasurer or designate.
- D. Debt financing, provided that all other funding sources are exhausted.

- v. The City Treasurer or designate shall have the authority to set and adjust administrative capital financing targets that support the general guidelines identified above.

Capital Budget Development

- (a) The capital budget shall be developed in accordance with the following guidelines:

- i. A rolling ten (10) year capital plan shall be developed and maintained.
- ii. The expenditure for each capital project shall be budgeted in the year spending is reasonably anticipated to occur.
- iii. The budget for capital projects shall include all reasonably known or anticipated costs each year the budget is requested, including but not limited to the impacts

of inflation and non-refundable HST and a reasonable contingency.

- iv. New capital budget funding requests that are introduced outside of the budget process shall be referred to the next budget cycle unless the request is directed to be brought forward by Municipal Council or is deemed urgent by the City Treasurer.
 - A. New capital budget requests that meet the criteria noted above, shall include a recommended source of financing as deemed appropriate by the City Treasurer or designate.
- v. Debt financing shall be applied in accordance with the Council approved Debt Management Policy.

Capital Budget Monitoring and Close Out

- (a) The City Treasurer or designate may close out of capital project accounts that are greater than three (3) years old calculated from the budget year the capital project was initially approved by Municipal Council.
- (b) The City Treasurer or designate shall allocate the net disposition of surplus funding for all closed capital projects as follows:
 - i. Capital levy surplus shall be transferred to the capital receipts account to be used as a potential funding source for unfunded capital requests and that Water and Wastewater & Treatment rates be returned to the appropriate reserve fund.
 - ii. The City Treasurer or designate shall review the balance of the reserve fund which originally funded the capital project and shall determine if funding is allocated back to the respective reserve fund or allocated to the capital receipts account to be used as a potential funding source for unfunded capital requests.
 - iii. Debt financing shall be released resulting in a reduction of authorized debt.
- (c) If during the capital budget monitoring process it is determined that a capital project will be significantly over budget, a separate report and associated source of financing shall be brought forward for Municipal Council approval or be brought forward during the multi-year budget process, including annual budget updates.
- (d) Civic Administration shall submit two monitoring reports to Municipal Council which will be known as the Mid-Year Monitoring Report and Year-End Monitoring Report and shall include:
 - i. A summary of the life-to-date capital budget.
 - ii. A listing of capital projects to be closed, including an explanation of capital projects with a variance greater than \$50,000, noting that capital projects with a variance to budget of less than \$1,000 shall be reported in aggregate only.

Appendix "E": Policy Updates

Chapter 1: Awards and Recognition

1(1) Bravery Awards

Service Area Lead: Clerks

Type of Change: Technical Amendment

That the following policy be established for the issuance of bravery awards:

- (a) the facts and circumstances surrounding the act of bravery shall be reported to the Community and Protective Services Committee by the Chief of Police and/or the Fire Chief and/or other public officials having knowledge of the situation with a recommendation that the bravery award be issued;
- (b) "bravery" shall be defined as "courage, valour, heroism, fearlessness, daring";
- (c) "courage" shall be defined as meaning the quality of meeting danger or opposition with fearlessness; dealing with anything recognized as dangerous, difficult or painful, instead of withdrawing from it;
- (d) a bravery award may be granted posthumously;
- (e) the recipient of the bravery award or their representative shall be invited to a regular meeting of the City Council for presentation of the award by the Mayor or their representative;
- (f) the bravery award shall take the form of an appropriately worded scroll.

ADOPTED MARCH 21, 1988

Amendment Rationale:

The policy is being amended to remove the policy number, to make the policy gender neutral, and to generalize the Standing Committee reference so as not to require a further housekeeping amendment in the event of a change in the mandate or name of the applicable Standing Committee and to update the general format of the policy.

Policy Update:

Bravery Award Policy

Definitions:

For the purposes of this policy,

"bravery" shall be defined as "courage, valour, heroism, fearlessness, daring".

"courage" shall be defined as meaning the quality of meeting danger or opposition with fearlessness; dealing with anything recognized as dangerous, difficult or painful, instead of withdrawing from it.

Application:

1. The facts and circumstances surrounding an act of bravery shall be reported to the appropriate Standing Committee by the Chief of Police and/or the Fire Chief and/or other public officials having knowledge of the situation with a recommendation that a Bravery Award be issued.
2. A Bravery Award may be granted posthumously.
3. The recipient of a Bravery Award, or their representative, shall be invited to a regular meeting of the City Council for presentation of the Award by the Mayor or their representative.

4. The Bravery Award shall take the form of an appropriately worded certificate.

1(2) Athletic Travel Grants

Service Area Lead: Parks and Recreation

Type of Change: Technical Amendment

That a policy be established whereby the City will consider giving traveling grants to local amateur sporting teams or individuals who win championships in the current year, or the immediately preceding year, or attain standards prescribed by the Provincial and/or National and/or International governing body, which qualify them to enter Provincial, National or International championship competitions in sports under the auspices of other than educational institutions, subject to the following guidelines all on the understanding that the Athletic Travel Grants Program is only a supportive grants program and not intended to wholly support an individual or team for travel expenses in quest of a championship and, in fact, it may be prudent to reject an application if it were proven that an individual or team had total financial support for their championship play:

- (a) the amount to be provided for each team member or individual competitor shall be \$100.00 (providing the event is being held at a location beyond a 160.9 km (100 mile) distance from the City of London);
- (b) the amount to be provided to any team shall not exceed \$500.00;
- (c) subject to the \$500.00 limitation, one coach per team shall be eligible for the travel grant;
- (d) in the case of individualistic sporting events, such as swimming, diving, track and field, boxing, wrestling, skating, rowing, one coach shall be eligible for the Travel Grant, to accompany the individual, or group of individuals in one sport (e.g. - two or more swimmers attending the same event - one coach; eight track and field athletes attending the same event - one coach.)
- (e) no team or individual shall be eligible for a grant in any consecutive year;
- (f) applications must be filed prior to the event or where the event immediately follows the trials or qualifying events, applications must then be filed within two weeks of achieving the championship or prescribed standards;
- (g) the General Manager of Community Services is authorized to approve the payment of grants to applicants whose applications are within the above guidelines and on the recommendation of the Administrator of Recreation Services provided that sufficient funds are available in the Current Budget;
- (h) the General Manager of Community Services will report only exceptions to the Community and Protective Services Committee; and
- (i) should the funds budgeted in any year for Athletic Travel Grants be depleted, the General Manager of Community Services shall be authorized to refuse any further applications subject to him submitting a list of the refused applications to the Community and Protective Services Committee at its last meeting in November of each year.

ADOPTED MARCH 2, 1981; SEPTEMBER 8, 1981; AMENDED AUGUST 3, 1982;
FEBRUARY 21, 1983,
MAY 3, 1999, DECEMBER 4, 2001

Amendment Rationale:

It is recommended that this Policy be updated to reflect the current position title of the Managing Director of Parks and Recreation. It is also recommended that section e) be removed given that teams and individuals can represent the City of London in Provincial, National and International competitions in consecutive years. It is believed that such teams should remain eligible for this travel assistance when representing the City of London.

Policy Update:

Athletic Travel Grants

That a policy be established whereby the City will consider giving traveling grants to local amateur sporting teams or individuals who win championships in the current year, or the immediately preceding year, or attain standards prescribed by the Provincial and/or National and/or International governing body, which qualify them to enter Provincial, National or International championship competitions in sports under the auspices of other than educational institutions, subject to the following guidelines all on the understanding that the Athletic Travel Grants Program is only a supportive grants program and not intended to wholly support an individual or team for travel expenses in quest of a championship and, in fact, it may be prudent to reject an application if it were proven that an individual or team had total financial support for their championship play:

- a. the amount to be provided for each team member or individual competitor shall be \$100.00 (providing the event is being held at a location beyond a 160.9 km (100 mile) distance from the City of London);
- b. the amount to be provided to any team shall not exceed \$500.00;
- c. subject to the \$500.00 limitation, one coach per team shall be eligible for the travel grant;
- d. in the case of individualistic sporting events, such as swimming, diving, track and field, boxing, wrestling, skating, rowing, one coach shall be eligible for the Travel Grant, to accompany the individual, or group of individuals in one sport (e.g. - two or more swimmers attending the same event - one coach; eight track and field athletes attending the same event - one coach.)
- e. ~~no team or individual shall be eligible for a grant in any consecutive year;~~
- f. applications must be filed prior to the event or where the event immediately follows the trials or qualifying events, applications must then be filed within two weeks of achieving the championship or prescribed standards;
- g. the ~~General Manager of Community Services~~ **Managing Director, Parks and Recreation** is authorized to approve the payment of grants to applicants whose applications are within the above guidelines and on the recommendation of the Administrator of Recreation Services provided that sufficient funds are available in the Current Budget;
- h. the ~~General Manager of Community Services~~ **Managing Director, Parks and Recreation** will report only exceptions to the ~~Community and Protective Services Committee~~ **appropriate Standing Committee of Council**; and
- i. should the funds budgeted in any year for Athletic Travel Grants be depleted, the ~~General Manager of Community Services~~ **Managing Director, Parks and Recreation** shall be authorized to refuse any further applications subject to ~~him submitting the~~ **submission of** a list of the refused applications to the ~~Community and Protective Services Committee~~ **appropriate Standing Committee of Council** at its last meeting in November of each year.

ADOPTED MARCH 2, 1981; SEPTEMBER 8, 1981; AMENDED AUGUST 3, 1982;
FEBRUARY 21, 1983,

1(3) Queen Elizabeth Scholarships

Service Area Lead: Clerks

Type of Change: Technical Amendment

That the following policy be established with respect to Queen Elizabeth Scholarships:

- (a) two Queen Elizabeth Scholarships, in the amount of \$2,000 each, shall be granted by the City of London in each school year, for admission to any University, to the two graduating high school students with the highest scholastic achievement;
- (b) applications for the Queen Elizabeth Scholarship shall be completed and returned to the Thames Valley District School Board or the London District Catholic School Board prior to July 15 in any year;
- (c) the Director of Education of the Thames Valley District School Board (or his delegate) and the Director of Education of the London District Catholic School Board (or his/her delegate) shall meet prior to the last Monday in July of each year, for the purpose of determining the names of the applicant students who meet the terms of the Scholarship, and the names of three alternate applicant students, in order of merit; such names to be submitted to the Community & Protective Services Committee of the London City Council for consideration on the last Monday of July in each year;
- (d) the Community & Protective Services Committee shall recommend the names of the annual recipients of the Queen Elizabeth Scholarship to the London City Council for consideration at its first meeting after the successful applicants have been determined by the said committee;
- (e) the City Treasurer shall arrange for the payment of the Queen Elizabeth Scholarships in a manner which will be most advantageous to the recipients; and
- (f) the recipients will receive a citation stating that they have been awarded a Queen Elizabeth Scholarship in the current year.

Criteria

- (1) Achievement will be based on the average of the student's best six subjects in their graduating year, carried to two decimal points.
- (2) The student must meet the following residency requirements:
 - (i) have lived in the City of London for at least three years and have attended a secondary school within the City of London for his/her three final years of secondary school education;
 - (ii) have lived in the City of London for at least three years and have attended a secondary school outside the limits of the City of London for his/her final three years of secondary school education, provided the Thames Valley District School Board or the London District Catholic School Board has paid for his/her attendance at such school; or
 - (iii) have resided outside the limits of the City of London and have attended a secondary school within the City of London for his/her three final years of secondary school education, provided his or her parents or guardians either own or rent property within the City of London.

ADOPTED SEPTEMBER 8, 1981; AMENDED SEPTEMBER 3, 1985; AUGUST 4, 1987;
SEPTEMBER 4, 1990; FEBRUARY 7, 1994 ; AMENDED MARCH 22, 2016 (By-law No.
A.-7364-84)

Amendment Rationale:

The policy is being amended to remove the policy number, to make the policy gender neutral, to generalize the Standing Committee reference so as not to require a further housekeeping

amendment in the event of a change in the mandate or name of the applicable Standing Committee, and to update the general format of the policy and to add provision for the scholarship to also include admission to any College.

Policy Update:

Queen Elizabeth Scholarship Policy

Two (2) Queen Elizabeth Scholarships, in the amount of \$2,000 each, shall be granted by the City of London in each school year, for admission to any University or College, to the two (2) graduating secondary school students with the highest scholastic achievement.

Criteria

1. Achievement shall be based on the average of the student's best six subjects in their graduating year, carried to two decimal points.
2. The student must meet the following residency requirements:
 - a) have lived in the City of London for at least three years and have attended a secondary school within the City of London for his/her three final years of secondary school education;
 - b) have lived in the City of London for at least three years and have attended a secondary school outside the limits of the City of London for their final three years of secondary school education, provided the Thames Valley District School Board or the London District Catholic School Board has paid for their attendance at such school; or
 - c) have resided outside the limits of the City of London and have attended a secondary school within the City of London for their three final years of secondary school education, provided their parents or guardians either own or rent property within the City of London.

Application:

1. Applications for the Queen Elizabeth Scholarship shall be completed and returned to the Thames Valley District School Board or the London District Catholic School Board prior to July 15 in any year;
2. The Director of Education for the Thames Valley District School Board (or their delegate) and the Director of Education for the London District Catholic School Board (or their delegate) shall meet prior to the last Monday in July of each year, for the purpose of determining the names of the applicant students who meet the terms of the Scholarship, and the names of three alternate applicant students, in order of merit; such names to be submitted to the appropriate Standing Committee of City Council for consideration at the first meeting of the appropriate Standing Committee falling on or after the last Monday in July.
3. The appropriate Standing Committee shall recommend the names of the annual recipients of the Queen Elizabeth Scholarship to City Council for consideration at its first meeting after the successful applicants have been determined by the said Committee.
4. The City Clerk shall arrange for the payment of the Queen Elizabeth Scholarship in a manner which is mutually acceptable to the City and the recipient.
5. The recipients will receive a certificate stating that they have been awarded a Queen Elizabeth Scholarship in the current year.

1(4) Mayor's New Year's Honour List

Service Area Lead: Clerks

Type of Change: Technical Amendment

That the policy set out in [Appendix 1\(4A\)](#) concerning the Mayor's New Year's Honour List and City of London plaques, certificates and gifts be established, noting that a person may not necessarily be named in each of the nine (9) categories each year.

ADOPTED APRIL 18, 1988; AMENDED FEBRUARY 19, 1996; JUNE 17, 1996;
AUGUST 6, 1996; SEPTEMBER 16, 1996; AUGUST 3, 1999, JULY 25, 2005,
FEBRUARY 6, 2006

Amendment Rationale:

The policy is being amended to remove the policy number, to make the policy gender neutral, to generalize the Standing Committee reference so as not to require a further housekeeping amendment in the event of a change in the mandate or name of the applicable Standing Committee, and to update the general format of the policy and to reflect the current advisory committee names.

Policy Update:

Mayor's New Year's Honour List Policy

1. A Mayor's New Year's Honour List shall be compiled each year to recognize persons who have contributed in an outstanding manner to the community of London in one of the following categories, namely:
 - a. Arts (i.e. contributions to fostering and/or the production of human creativity);
 - b. Heritage (i.e. contributions to the awareness, preservation and protection of heritage resources);
 - c. Environment (i.e. contributions to the awareness, preservation and protection of the environment);
 - d. Housing (i.e. contributions to the provision of safe and accessible housing for all members of the community);
 - e. Safety & Crime Prevention (i.e. contributions to a safe and secure community);
 - f. Persons with Disabilities (i.e. contributions to the promotion and facilitation of a barrier-free community for citizens of all abilities, including those with disabilities);
 - g. Humanitarianism (i.e. contributions to human welfare through philanthropic and other efforts);
 - h. Sports (i.e. contributions to the awareness of and participation in sports activity and/or demonstrated excellence within a particular sports activity); and
 - i. Diversity and Race Relations (i.e. contributions to the elimination of hate and discrimination).

2. Recipients shall be named by City Council, on the recommendation of the following advisory committees or organizations, through the appropriate Standing Committee, based upon the reporting relationship of the respective advisory committee or organization, with respect to the individual categories as outlined above:
 - a. London Arts Council
 - b. London Advisory Committee on Heritage
 - c. Advisory Committee on the Environment
 - d. London Housing Advisory Committee
 - e. Community Safety & Crime Prevention Advisory Committee
 - f. Accessibility Advisory Committee
 - g. Diversity Inclusion and Anti-Oppression Advisory Committee
 - h. London Sports Council; and
 - i. Diversity Inclusion and Anti-Oppression Advisory Committee

3. The Mayor's New Year's Honour List shall be subject to the following conditions:
 - a. a maximum of nine persons shall be named in any one year, with no more than one being from each of the nine categories referred to above subject to:
 - i. a person may not necessarily be named in each category each year;

- ii. Municipal Council may, at its sole discretion and on an exception basis, choose to recognize two individuals in any one category in a given year should the Municipal Council determine that two individuals have inseparably partnered in contributing to their respective category, thereby increasing the aggregate amount of nominees beyond the usual maximum of nine persons to be named in any one year;
 - b. the recipients shall be chosen for long standing contributions in their respective categories;
 - c. the name of any one individual shall be included on the Honour List only once in their lifetime;
 - d. any person currently serving as a member of any one of the advisory committees or organizations referred to in part 2 shall not be eligible for naming to the list during their term of office;
 - e. nominees being recommended by the advisory committees or organizations referred to in part 2 shall have at least seventy-five percent of the total eligible votes on the respective advisory committee or organization; and
4. The recipients shall be honoured at the first meeting of the City Council in January, with dinner and an appropriately worded certificate.
 5. A plaque shall be displayed in a prominent public area of City Hall honouring those persons named each year to the Mayor's New Year's Honour List and shall be updated annually by the City Clerk.

1(5) Civic Luncheons and Receptions

Service Area Lead: Clerks

Type of Change: Major Amendment

That a policy be established to provide that funds be approved annually for Civic Luncheons and Receptions, and that within the designated amount, such events be approved by the Board of Control on the recommendation of the City Clerk, provided the applying organizations meet the criteria outlined below:

- (a) the City of London will allocate funds in two separate accounts to handle:
 - (i) the Annual City of London Retirement and 25-Year Club Banquet along with any other recurring annual events initiated by the Municipality; and
 - (ii) funds in the Current Budget Reception Account for events qualifying under the criteria listed below.
- (b) the City Clerk will recommend to the Board of Control on all applications for Civic Luncheons and Receptions which qualify under this policy, and be authorized to refuse all applications which do not qualify under the said policy, on the understanding that the applicants have the right of appeal to the Board of Control.
- (c) the Annual Civic Retirement and 25-Year Club Banquet continue to be hosted by the City of London.
- (d) the entertainment of visiting dignitaries is conducted at the discretion of the Mayor, in consultation with the City Clerk.
- (e) in addition to the above, it is understood that the City of London, on its own initiative and on the recommendation of the Mayor and the City Clerk, may host a civic dinner for special occasions which may arise from time to time, but that such dinners will be held solely on the City's initiative and not as a result of an application or request from an outside source.
- (f) to allow for the hosting of a Civic Reception or Luncheon in cases where the City of London, by resolution of Council, has extended an invitation to a municipally related organization to hold its annual conference or convention in this City.

- (g) as an alternative to "hosting" a luncheon or reception in accordance with this policy, the City of London may, on the recommendation of the City Clerk to the Council, through the Board of Control, issue a grant to the applicant organization in an amount estimated to cover the cost of the said function, or in another amount deemed appropriate by the Council, to assist in sponsorship of the said function, subject to the following:
- (i) the City of London being given proper recognition for its sponsorship in the event programming;
 - (ii) the Mayor or his/her representative being invited to attend the luncheon or reception to represent the City of London.

Criteria

- (a) Events of International, National or Provincial Significance, must meet the following criteria:
- it has been established by custom that the host municipality participates in a significant way either by grant or tendering luncheons or receptions.
 - it is an amateur, non-profit event.
 - the holding of the event attracts large numbers of out-of-town visitors.
 - the host municipality may expect to gain considerable publicity by the event.
- (b) Local Clubs and Organizations must meet the following criteria:
- non-restricted memberships;
 - non-profit;
 - duly chartered;
 - the objectives of which are to provide community service and which, throughout their existence, have demonstrated that they are providing a significant public service to the citizens of London;
 - are observing a significant occasion in the life of the organization, such as an anniversary of founding, etc., but not simply because they are hosting a convention;
 - there has been an interval of at least five years since the organization was last tendered a luncheon or reception by the City of London; (the five year interval shall be calculated retroactively from the date of the event for which application is made)
 - has no municipal affiliation and is not a local Board, as defined in section 1 of the *Municipal Affairs Act*, R.S.O. 1990, Chapter M.46.
- (c) Organizations or Groups such as Cultural Groups which have won singular awards at National or International level, and have thus brought wide publicity and honour to the City of London may be considered.
- ADOPTED SEPTEMBER 8, 1981; AMENDED AUGUST 5, 1986; APRIL 18, 1988

Amendment Rationale:

The budget allocation available for non-corporate events was eliminated a number of years ago and therefore the policy needs to be updated to eliminate that funding opportunity. There are also various housekeeping changes required to reflect current Standing Committee references and reporting relationships.

Policy Update:

Annual Retirement Dinner, 25-Year Club Dinner and Other Civic Dinners Policy

1. Subject to the annual budget approval process, an annual City of London Retirement Dinner for retiring employees and an annual Council dinner for those employees achieving 25-Years of Service in that calendar year, shall be hosted by the City of London; and
2. The City of London may, on its own initiative and on the recommendation of the Mayor and the City Clerk, host a civic dinner for special occasions which may arise from time to time, on the understanding that such dinners will be held solely on the City's initiative and not as a result of an application or request from an outside source.

1(6) Cultural Policy for the Arts

Service Area Lead: City Manager's Office

Type of Change: Repeal

That a cultural policy for the arts as set out in [Appendix 1\(6A\)](#) be established.

ADOPTED MAY 5, 1980; AMENDED APRIL 5, 1988

Repeal Rationale:

This policy is no longer necessary because The Community Service Innovation Fund granting program has been replaced with the Community Arts Investment Program (CAIP), which has been in place since the year 2000. There is no longer an Advisory Committee on the Arts and many of its duties such as the administration of the Mayors New Years Honours List for Arts and administration of the CAIP have been transferred to the London Arts Council.

1(7) Recognition of Advisory Committee Members

ADOPTED MARCH 7, 1988; AMENDED DECEMBER 7, 1992; REPEALED MARCH 20, 2012
(By-law No. A.-6784-75)

1(8) FCM Annual Race Relations Award

Service Area Lead: Clerks

Type of Change: Repeal

That a policy be established to provide for the participation of the City of London in the Federation of Canadian Municipalities' (FCM) annual Race Relations Award and that, starting in 1997, the London Race Relations Advisory Committee be asked to consider, in each year, submitting a nomination to the Community and Protective Services Committee for recommendation to City Council and subsequent submission to the FCM.

ADOPTED JUNE 17, 1996

Repeal Rationale:

This award no longer exists so the policy is redundant.

1(9) Bicycle Friendly Award

Service Area Lead: Clerks

Type of Change: Repeal

That the following policy be established for the issuance of Bicycle Friendly Awards:

- (a) Bicycle Friendly Awards be presented once or twice a year to organizations or businesses who have contributed to making the City of London more bicycle friendly;
- (b) the Bicycle Advisory Committee be authorized to advertise in the Civic Corner

section of the London Free Press and via news releases, other publicity and through the bicycle community, inviting the public to submit in writing the names of organizations or businesses who should be considered for the Bicycle Friendly Award;

- (c) the following criteria be established to qualify for the award, and that businesses and other organizations be required to meet a minimum of three of the criteria:
- (i) secure, sheltered, monitored bicycle parking
 - (ii) on-site shower and change facilities
 - (iii) employee training in bike safety, repair and maintenance.
 - (iv) participation in the annual Bike Festival
 - (v) support for bike events
 - (vi) percentage of employees who commute by bicycle
 - (vii) bicycle-friendly dress code
 - (viii) use bicycle services (e.g. bike couriers)
 - (ix) encouragement of cycling through employee programs and events
 - (x) bicycle facilities for clients
 - (xi) other criteria deemed appropriate by the selection committee

on the understanding that:

- (i) unsuccessful nominations may be resubmitted in future years;
 - (ii) individuals currently serving on the Bicycle Advisory Committee are not eligible for consideration; and
 - (iii) organizations to be considered include but not be limited to: restaurants, grocery stores, manufacturers, offices, media, small and large retailers, bike stores, tourism operators, malls, boards and departments (e.g. library board, school boards, city departments, police) hotels and organizations (e.g. the YMCA);
- (d) a selection committee composed of one representative from each of the following groups be established to review the nominations and make a recommendation to the Municipal Council for such awards: the Bicycle Advisory Committee, the Thames Region Ecological Association Transportation Options Planning Committee, and the local bicycle clubs, for a total of three members.

ADOPTED MARCH 3, 1997

Repeal Rationale:

The Bicycle Advisory Committee was disbanded and this award has not been issued in many years, making this award redundant. However, the Municipal Council has since established a Cycling Advisory Committee, which will be reviewing opportunities for recognition of cycling achievements in the City of London, as part of its 2017 Work Plan, which could result in the recommendation of a new Council policy.

1(10) Diversity, Race Relations and Inclusivity Award

Service Area Lead: Clerks

Type of Change: Technical Amendment

Purpose:

The purpose of the Award is to:

1. Promote public awareness of and encourage ongoing initiatives on diversity, race relations, inclusivity and human rights and to promote/advance London as a welcoming city.
2. Recognize and encourage small businesses/small labour (49 or fewer employees/members); large businesses/large labour (50 or greater employees/members); social/community service not-for-profits (49 or fewer employees/members); social/community service not-for-profits (50 or greater employees/members) youth and young adult groups (less than 26 years of age) or organizations, that promote awareness of diversity, race relations, inclusivity and human rights and promote/advance London as a welcoming city.

Recipients will be presented with the Award by the Mayor, on behalf of the Municipal Council, at the closest possible meeting date to December 10 - Human Rights Day. There will be a maximum of five Awards presented in any one year, with no more than one Award being awarded in each of the five categories noted in section 2 above.

All Londoners are invited to submit their nominations using the Nomination Form available on the City's website or obtained through the City Clerk's Office, 3rd Floor, City Hall, 300 Dufferin Avenue.

September 30 is the deadline for sending award nominations to the Committee Secretary of the London Diversity and Race Relations Advisory Committee. Below is the criteria for award eligibility and details of the award nomination process.

Eligibility Criteria:

To be eligible, a nominee must:

1. represent one of the following categories:
 - small businesses/small labour (49 or fewer employees/members);
 - large businesses/large labour (50 or greater employees/members);
 - social/community service not-for-profits (49 or fewer employees/members);
 - social/community service not-for-profits (50 or greater employees/members);
 - youth and young adult (less than 26 years of age) groups or organizations;
2. have been operating in London continuously during the past 12 months, at a minimum;
3. have made their qualifying contribution in the City of London within the past 12 months; and,
4. consent to the nomination;

noting that previous years' recipients would remain eligible for nomination in future years on the condition that any subsequent nomination is not based upon the same achievement or initiative for which they have already received an Award or for which they have previously been nominated.

Nomination Criteria

1. Nominations can be made by any individual who works or resides in the City of London. The nominators must be familiar with the activities of the nominee, and may be called upon for an interview by the Awards and Recognition Sub-Committee of the London Diversity and Race Relations Advisory Committee.
2. Nominations will be received for each of the following categories, but awards may not necessarily be presented in each category, each year:
 - small businesses/small labour (49 or fewer employees/members);
 - large businesses/large labour (50 or greater employees/members);
 - social/community service not-for-profits (49 or fewer employees/members);
 - social/community service not-for-profits (50 or greater employees/members);
 - youth and young adult (less than 26 years of age) groups or organizations.
3. Nomination submissions must include:
 - category
 - profile of nominee
 - consent of nominee
 - information about the nominator (i.e., name, address, etc.)
 - brief description of the nominee and initiative, including the reasons for nomination
 - responses to the following four questions:

- a) How has the initiative contributed to the promotion of diversity, race relations, inclusivity and human rights in London and promoting London as a welcoming city?
- b) What short or long-term impact has/will the initiative have on the promotion of diversity, race relations, inclusivity and human rights in London and promoting London as a welcoming city?
- c) What is the potential for expansion and/or inspiration for replication of the initiative?
- d) How can receiving this Award be used to further promote diversity, race relations, inclusivity and human rights in London and to further promote London as a welcoming city?

All nominators and nominees will be advised of the status of their nomination prior to the presentation of the Award.

ADOPTED FEBRUARY 7, 2000; AMENDED AUGUST 27, 2013 (By-law No. A.-7012-284);

AMENDED MAY 31, 2016 (By-law No. A.-7413-164)

Amendment Rationale:

A technical amendment is needed to remove the policy number, re-title the policy, to update the Committee references, and to include the words “anti-oppression” in four sections at the request of the Diversity and Race Relations and Anti-Oppression Advisory Committee.

Policy Update:

Diversity, Race Relations and Inclusivity Award Policy

Purpose of Award:

1. To promote public awareness of and encourage ongoing initiatives on diversity, race relations, inclusivity, anti-oppression and human rights and to promote/advance London as a welcoming city.
2. To recognize and encourage small businesses/small labour (49 or fewer employees/members); large businesses/large labour (50 or greater employees/members); social/community service not-for-profits (49 or fewer employees/members); social/community service not-for-profits (50 or greater employees/members) youth and young adult groups (less than 26 years of age) or organizations, that promote awareness of diversity, race relations, inclusivity and human rights and promote/advance London as a welcoming city.

Recipients will be presented with the Award by the Mayor, on behalf of the Municipal Council, at the closest possible meeting date to December 10 - Human Rights Day. There will be a maximum of five Awards presented in any one year, with no more than one Award being awarded in each of the five categories noted in section 2 above.

All Londoners are invited to submit their nominations using the Nomination Form available on the City's website or obtained through the City Clerk's Office, 3rd Floor, City Hall, 300 Dufferin Avenue.

September 30 is the deadline for sending award nominations to the Committee Secretary of the Diversity Inclusion and Anti-Oppression Advisory Committee. Below is the criteria for award eligibility and details of the award nomination process.

Eligibility Criteria:

To be eligible, a nominee must:

1. represent one of the following categories:
 - small businesses/small labour (49 or fewer employees/members);
 - large businesses/large labour (50 or greater employees/members);

- social/community service not-for-profits (49 or fewer employees/members);
 - social/community service not-for-profits (50 or greater employees/members);
 - youth and young adult (less than 26 years of age) groups or organizations;
2. have been operating in London continuously during the past 12 months, at a minimum;
 3. have made their qualifying contribution in the City of London within the past 12 months; and,
 4. consent to the nomination;

noting that previous years' recipients would remain eligible for nomination in future years on the condition that any subsequent nomination is not based upon the same achievement or initiative for which they have already received an Award or for which they have previously been nominated.

Nomination Criteria:

1. Nominations can be made by any individual who works or resides in the City of London. The nominators must be familiar with the activities of the nominee, and may be called upon for an interview by the Awards and Recognition Sub-Committee of the Diversity Inclusion and Anti-Oppression Advisory Committee.
2. Nominations will be received for each of the following categories, but awards may not necessarily be presented in each category, each year:
 - small businesses/small labour (49 or fewer employees/members);
 - large businesses/large labour (50 or greater employees/members);
 - social/community service not-for-profits (49 or fewer employees/members);
 - social/community service not-for-profits (50 or greater employees/members);
 - youth and young adult (less than 26 years of age) groups or organizations.
3. Nomination submissions must include:
 - category
 - profile of nominee
 - consent of nominee
 - information about the nominator (i.e., name, address, etc.)
 - brief description of the nominee and initiative, including the reasons for nomination
 - responses to the following four questions:
 - a) How has the initiative contributed to the promotion of diversity, race relations, inclusivity, anti-oppression and human rights in London and promoting London as a welcoming city?
 - b) What short or long-term impact has/will the initiative have on the promotion of diversity, race relations, inclusivity, anti-oppression and human rights in London and promoting London as a welcoming city?
 - c) What is the potential for expansion and/or inspiration for replication of the initiative?
 - d) How can receiving this Award be used to further promote diversity, race relations, inclusivity, anti-oppression and human rights in London and to further promote London as a welcoming city?

All nominators and nominees will be advised of the status of their nomination prior to the presentation of the Award.

Service Area Lead: Clerks
Type of Change: New Policy

Corporate Plaques and Recognitions Policy

1. All gifts, certificates, plaques and other forms of recognition presented to the City of London from time to time shall be placed in the control of the City Clerk for cataloguing, and for display, storage and maintenance as appropriate.
2. Separate individual plaques shall be issued by the London Advisory Committee on Heritage to identify designated buildings in the community as being of architectural significance.
3. Separate individual plaques shall be issued by the City Council in recognition of recipients of the Diversity, Race Relations and Inclusivity Award and the Outstanding London Ambassador Award.

New Policy Rationale:

This policy was originally part of the Mayor's New Year's Honour List Policy. It has been separated out into its own stand-alone policy to address all circumstances related to plaques and recognitions, in addition to the Mayor's New Year's Honour List.

Service Area Lead: Clerks

Type of Change: New Policy

Outstanding London Ambassador Award Policy

An "Outstanding London Ambassador Award" shall be presented on an annual basis to an individual, business or organization in recognition of outstanding contributions that bring a positive national and international recognition to London that may result in encouraging people to move to London, businesses to invest in London, or encourage people to visit London.

An Award Committee appointed by the Municipal Council shall review nominations for the Award and make a recommendation to the Municipal Council, through the appropriate Standing Committee of Council, with respect to the preferred recipient.

Nominations shall be submitted by an individual, business or organization from London to the City Clerk by October 31st each year, for consideration by the Award Committee.

The Award Committee, when deliberating on the Outstanding London Ambassador Award, shall consider the degree to which the individual, organization or business has brought positive recognition to London and the resulting benefits to the City of London.

An individual, business or organization shall only be eligible to receive the Outstanding London Ambassador Award once.

New Policy Rationale:

The Outstanding London Ambassador Award was approved by Council and a terms of reference was prepared to guide eligibility, nominations and selection. It is suggested that this award be incorporated into a Council Policy, consistent with other Council awards.

~~1(4A) Appendix Mayor's New Year's Honour List~~

~~(a) That the following policy be established effective February 6, 2006 concerning the Mayor's New Year's Honour List namely:~~

- ~~i) a Mayor's New Year's Honour List be compiled each year to recognize persons who have contributed in an outstanding manner to the community of London in one of the following categories, namely:~~

- ~~1. The Arts (i.e. contributions to fostering and/or the production of human creativity);~~
- ~~2. Heritage (i.e. contributions to the awareness, preservation and protection of heritage resources);~~
- ~~3. The Environment (i.e. contributions to the awareness, preservation and protection of the environment);~~
- ~~4. Housing (i.e. contributions to the provision of safe and accessible housing for all members of the community);~~
- ~~5. Safety & Crime Prevention (i.e. contributions to a safe and secure community);~~
- ~~6. Persons with Disabilities (i.e. contributions to the promotion and facilitation of a barrier-free community for citizens of all abilities, including those with disabilities);~~
- ~~7. Humanitarianism (i.e. contributions to human welfare through philanthropic and other efforts);~~
- ~~8. Sports (i.e. contributions to the awareness of and participation in sports activity and/or demonstrated excellence within a particular sports activity); and~~
- ~~9. Diversity and Race Relations (i.e. contributions to the elimination of hate and discrimination).~~

~~ii) the recipients be named by City Council, on the recommendation of the following advisory committees, through the Standing Committees or the Board of Control, based upon the reporting relationship of the respective advisory committee, with respect to their individual categories as outlined above:~~

- ~~1. London Arts Council;~~
- ~~2. London Advisory Committee on Heritage;~~
- ~~3. Advisory Committee on the Environment;~~
- ~~4. London Housing Advisory Committee;~~
- ~~5. Community Safety & Crime Prevention Advisory Committee;~~
- ~~6. Accessibility Advisory Committee;~~
- ~~7. London Diversity and Race Relations Advisory Committee;~~
- ~~8. London Sports Council; and~~
- ~~9. London Diversity and Race Relations Advisory Committee~~

~~iii) the Mayor's New Year's Honour List Program be subject to the following conditions:~~

~~a maximum of nine persons being named in any one year, with no more than one being from each of the nine categories referred to above, and on the understanding that a person may not necessarily be named in each category each year; it being noted that the Municipal council may, at its sole discretion and on an exception basis, choose to recognize two individuals in any one category in a given year should the Municipal council determine that two individuals have inseparably partnered in contributing to their respective category, thereby increasing the aggregate amount of nominees beyond the usual maximum of nine persons to be named in any one year;~~

~~the recipients being chosen for long standing contributions in their respective categories;~~

~~the name of any one individual being included on the Honour List only once in his/her lifetime;~~

- ~~any person currently serving as a member of any one of the advisory committees referred to in section (ii) not being eligible for naming to the list during his/her term of office;~~
 - ~~nominees being recommended by the advisory committees referred to in section (ii) receiving at least seventy-five percent of the total eligible votes on the respective advisory committee;~~
 - ~~the recipients being honoured at the first meeting of the City Council in January, with dinner and an appropriately worded scroll.~~
- (b) ~~That a plaque be displayed in the main lobby of City Hall honouring those persons named each year to the Mayor's New Year's Honour List and that the City Clerk be authorized to add the names of the new honourees each year.~~
- (c) ~~That separate individual plaques be presented only by the London Advisory Committee on Heritage to be used to identify designated buildings in the community as being of architectural significance.~~
- (d) ~~That all gifts, certificates, plaques and other forms of recognition presented to the City of London from time to time be placed in the control of the City Clerk for cataloguing, and for display, storage and maintenance as appropriate.~~
- (e) ~~That notwithstanding the recommendation of the Community Housing Advisory Committee contained in Section (c) of clause 1 of its 8th Report (1987), no action be taken to prepare a permanent plaque for the purpose of recording the names of persons who receive Certificates of Appreciation for their contribution to the housing needs of the community.~~

~~1(6A) Appendix to Cultural Policy for the Arts~~

~~I—PRINCIPLES~~

~~(a) Availability~~

~~To ensure that programs and events in all forms are available in a sufficient quantity to satisfy the needs of the community.~~

~~(b) Accessibility~~

~~To ensure that all people and all groups have an opportunity to enjoy and participate in the arts.~~

~~(c) Cost~~

~~To ensure that a clear granting policy is in place that reflects the total financial position of the City and its commitment to the Arts.~~

~~(d) Quality~~

~~To promote excellence in craftsmanship, execution and creativity.~~

~~(e) Co-ordination~~

~~To ensure planning and administration which will ensure a co-ordinated approach at a local level and beyond.~~

~~II—OBJECTIVES~~

~~(a) Facilities~~

~~1. To consider the visual art component of every City-owned building, which~~

is open to the public.

- ~~2. To give consideration to multi-use cultural arts, athletic or recreational facilities in future planning and building approvals.~~
- ~~3. To re-examine the policy on the use of Centennial Hall and develop a long range plan for such public buildings.~~
- ~~4. To encourage the Recreation Services Division of the Community Services Department and the local Boards of Education to continue to give complete co-operation to arts groups requesting the use of their facilities.~~
- ~~5. To deal with public use buildings which are not run for profit but which are publicly funded, eg. the Grand Theatre. To seek an equitable balance to deal with ownership, rental, municipal taxes and grants.~~

~~(b) Programmes~~

- ~~1. To encourage diversity in the arts supporting the amateur as well as professional arts organizations in the City.~~
- ~~2. To support the policy of buying or renting visual arts for public buildings, giving preference to local and regional artists.~~
- ~~3. To recognize individual contributions to the arts within the City by annual nominations to the Mayor's New Year's Honour List.~~
- ~~4. To ensure liaison between the Advisory Committee on the Arts and the Recreation Services Division of the Community Services Department.~~

~~(c) Funding (Effective May 1998)~~

~~Municipal Grants - Community Service Innovation Fund~~

~~General~~

- ~~1. The purpose of the Community Service Innovation Fund (C.S.I.F.) is "to enhance the quality of life in London and to support The Corporation's strategic priorities of creating an economic environment that facilitates job creation and ensuring a safe, clean, healthy, functioning community which secures the well-being of its residents".~~
- ~~2. CSIF "seed" funding available will be strategically directed toward proposals which are considered priority services that meet new and emerging needs of our community. Programs, projects or studies which are innovative and demonstrate a community-based activity having an identifiable and beneficial outcome will be considered.~~
- ~~3. That the Advisory Committee on the Arts be consulted on a yearly basis with regard to needs and priorities for grants, funds for arts and cultural programs.~~
- ~~4. A community-based volunteer board of directors, on behalf of a non-profit group/organization, may submit one application per group/organization.~~
- ~~5. Applications for grants will be considered from unincorporated non-profit organizations, all the resources of which are devoted to non-profit activities carried on by the organization itself and no part of the income of which is payable to, or is otherwise available for the personal benefit of any proprietor, member or shareholder thereof.~~

~~6. Subject Areas for an application include:~~

~~Community
Well-being~~

~~Refers to organizations which enable citizens to strengthen the personal or Community life of the City of London. It also refers to organizations which strengthen neighbourhoods, accessibility, and public~~

involvement in organizations. This category includes recreation and quality of life organizations.

Arts	Refers to organizations which produce, present, distribute, educate and/or encourage the appreciation of and the creation of work in the literary, performing or visual arts.
Culture	Refers to organizations which represent the creative capacities of citizens or the celebration of racial or ethnic contributions e.g. diversity and multiculturalism.

7. ~~All C.S.I.F. applications that are submitted prior to the submission deadline are reviewed by the Community Services Department. Late applications will not be considered. After the current Operating Budget has been approved by City Council, C.S.I.F. eligibility decisions will be made by delegates representing several Corporate Departments. Notifications of approval are mailed to applicants and funding of \$15,000 or less will be paid in full by June 1. There is no appeal procedure to Committees and/or Board of Control.~~

8. ~~The following are overriding principles of funding and must be addressed in each application:~~

- ~~+ the project/program responds to a community need. Means of demonstrating this may include financial contributions, donations-in-kind and volunteer help;~~
- ~~+ demonstration of the need for a City of London contribution compared with other funders (the City will not be the primary funder);~~
- ~~+ partnership and collaboration among community organizations, funders and the City;~~
- ~~+ innovation which would benefit the London community e.g., doing things in different ways, changing practices, or bringing services to new audiences. Innovation can be for a particular community within the City of London, and/or for the City of London as a whole;~~
- ~~+ encouragement of diversity, equity, accessibility and environmental friendliness;~~
- ~~+ recognition of community support for a proposed Fund activity;~~
- ~~+ demonstration of community outreach, neighbourhood accessibility and value to the community;~~
- ~~+ accountability of outcomes and benefits related to the proposed activity; and~~
- ~~+ demonstrated managerial and financial viability, no deficits or loans or capital improvements will be considered for assistance.~~

~~The Corporation of the City of London will ensure fairness in allocation based upon the merits and type of a proposed project/program and will work toward movement of an organization and its activities toward self-sufficiency.~~

Eligibility Criteria

9. ~~Eligibility Criteria are based on the purpose and principles and subject to annual City Council approval of its operating budget. All grant applicants must meet all the following criteria in order to be considered for a CSIF grant:~~

- ~~• applicants must demonstrate the need for the specific project/program (the City of London will not be the primary funder)~~
- ~~• applicants are non-profit community groups and organizations – individuals are not eligible;~~
- ~~• applicants must demonstrate how their proposal complies with the purpose and principles;~~
- ~~• there can only be one application per organization or event;~~

- ~~• applicants must be located within the City of London and are intending to use grant funds to provide services to the "Greater London" community;~~
- ~~• applicants are eligible for a community based activity which is accessible to any citizen in the London community;~~
- ~~• each proposal must identify a specific defined benefit and outcome;~~
- ~~• applicants' organization must be governed by a community based volunteer board of directors; and,~~
- ~~• applicants must provide a letter of confirmation from the board of directors showing that the board approved the proposal, or have the application form signed by the Chair of the Board or other authorized member of the Board.~~

~~10. Applicants are required to provide the following attachments to their application:~~

- ~~a) a current audited (or Board of Director's approved) financial statement for the organization/group (if available);~~
- ~~b) a proposed budget indicating other sources of income and amounts;~~
- ~~c) Letters of support from other community organizations/groups/individuals for the proposal.~~
- ~~d) a list of Board Members;~~
- ~~e) an implementation timetable for the proposal;~~
- ~~f) a brief outline about the organization/group; and~~
- ~~g) a summary of the proposal.~~

~~Ongoing Evaluation~~

~~11. At the beginning of September, each group/organization who receives financial assistance from the City in June will be required to provide a progress report about the status of their activity initiatives including a description of service outcomes and financial reporting including identifying: what the City funding was put toward, how many people were served, who is using the service and what is the potential for obtaining alternative methods of financing service initiatives in the future.~~

~~Continued funding would only be considered if an applicant demonstrates:~~

- ~~▪ compliance with Purpose and Principles and Eligibility Criteria; and~~
- ~~▪ achievement of goals, objectives, time lines and outcomes as stated in the original proposal.~~

~~(d) Planning and Administration~~

- ~~1. To encourage arts organizations and individuals interested in the arts to participate in the London Arts Council.~~
- ~~2. To co-operate with the London Arts Council to produce an inventory of arts for the City (Culture Count) and an inventory of current and future needs for arts organizations. When these surveys are made and evaluated, the arts policy for the City might be re-examined.~~
- ~~3. To encourage all City Departments and Committees to give special attention to the cultural resources of the City and ensure that full information is available upon request.~~
- ~~4. To encourage all Committees involved in various planning aspects of London to use the availability of the Arts Community as an information resource.~~

Chapter 2: Building and Regulations

2(1) Building on Old Landfill Sites

Service Area Lead: Development & Compliance

Type of Change: Repeal

That the following policy concerning building construction on old sanitary landfill sites be established, namely:

- (a) all residential, commercial and industrial building construction on any completed sanitary landfill site shall be prohibited; and
- (b) the approval of the Ministry of the Environment shall be required for all other types of construction on sanitary landfill sites within the City, prior to the issuance of a building permit.

ADOPTED DECEMBER 8, 1970; AMENDED JULY 7, 1975 [2(1) AUG 2000]

Repeal Rationale:

Other provincial applicable legislation addresses this issue.

Under the Ontario Building Code (Division A -1.4.1.3), the Chief Building Official must consider 'applicable law' prior to the issuance of a building permit. Subclause (vii) states: *(vii) section 46 of the Environmental Protection Act with respect to the approval of the Minister to use land or land covered by water that has been used for the disposal of waste*, Building Division staff consult our GIS map wherein old landfill sites have been identified and use this as a checklist tool prior to issuance of a building permit.

The Environmental Protection Act provides requirements and regulations governing the use and development of contaminated lands and has more prescriptive statutory requirements under Provincial legislation. Section 46 of the EPA states "**46** *No use shall be made of land or land covered by water which has been used for the disposal of waste within a period of twenty-five years from the year in which such land ceased to be so used unless the approval of the Minister for the proposed use has been given*".

Closed landfills with an Environmental Compliance Approval (ECA) are exempted from regulations governing the use and development of brownfield sites. Almost all closed landfills do not have an ECA and therefore would be subject to the regulations governing the use and development of brownfield site. All closed landfills with an ECA are owned by the City and therefore we can control development. Landfills with an ECA would also require MOECC approval to change its land use.

2(2) Mobile Homes

Service Area Lead: Development & Compliance

Type of Change: Repeal

That a policy be established whereby the Director of Building Controls be instructed not to issue building permits for mobile homes.

ADOPTED JUNE 21, 1971 [2(2) AUG 2000]

Repeal Rationale:

Other applicable municipal legislation addresses this issue.

Mobile homes are required to be designed to CSA Z240 MH. Building permits are not required for mobile homes on a chassis with wheels. Their use is regulated in Zoning By-law Z-1. It is not necessary to regulate or prohibit their use through building permits.

2(3) Moving Residential Buildings

Service Area Lead: Development & Compliance

Type of Change: Repeal

That a policy be established to provide that before permission is granted to move any residential building to a new location within the City limits, the owner of such a building be required to submit to the Treasurer of the Corporation of the City of London a performance bond or other security satisfactory to the City Treasurer, the amount of such a bond or security to be equal to the total of the estimated cost of the following:

- (a) the cost of moving the building;
- (b) the cost of cleaning up and filling to grade of the former location of the building;
- (c) the cost of excavating and installing a new foundation at the site to which the building is being moved;
- (d) the costs of back-filling, grading, seeding or sodding the new site;
- (e) the cost of necessary repairs and renovations to the building that has been moved;

all of such work to be carried out to the satisfaction of the Director of Building Controls; and further, unless weather conditions warrant it, no move shall be permitted prior to March 31 of any year and all the necessary work required to be done by the Director of Building Controls shall be completed within three months to the date of commencement thereof and all such work in every case shall be completed by November 30 of any year.

ADOPTED AUGUST 11, 1975 [2(3) AUG 2000]

Repeal Rationale:

Other applicable municipal legislation addresses this issue.

Permits are issued by Development & Compliance Services to move any building under By-law S-2. Required clearances from the Building Division are required for the 'demolition' permit (for the lawful removal of a building from its original site) and for the issuance of a foundation permit for the new site. Both aforementioned permits are issued under the jurisdiction of the Building Code Act. Thus, this policy is redundant as the provisions of By-law S-2 addresses this issue.

2(4) Permits for Lots without Electric Services

Service Area Lead: Development & Compliance

Type of Change: Repeal

That a policy be established whereby the Director of Building Controls is authorized to issue a restrictive (no-occupancy) building permit for a lot or block in an unassumed subdivision without such lot being serviced with permanent hydro electric power.

ADOPTED NOVEMBER 7, 1977 [2(4) AUG 2000]

Repeal Rationale:

Other provincial applicable legislation addresses this issue.

The Chief Building Official, under Division C 1.3.1.3 of the Ontario Building Code, can and has issued conditional (no occupancy) building permits for dwellings in unassumed subdivisions. Thus, this policy is redundant as the Ontario Building Code allows for such provision.

2(5) Methane Gas

Service Area Lead: Development & Compliance

Type of Change: Major Amendment

That the following actions be taken in connection with methane gas:

(a) Requirements at the Building Permit Stage

A clause be inserted into all building permits requiring that any deposits of organic materials or refuse encountered during excavation must be reported to the General Manager of Environmental Services & City Engineer/Chief Building Official immediately and that, if required by the General Manager of Environmental Services & City Engineer/Chief Building Official, the builder will at his/her own expense retain a competent consultant in the field of methane soil gases to investigate these deposits and to submit a full report on them to the General Manager of Environmental Services & City Engineer/ Chief Building Official; and further, that all of the recommendations of the consultant contained in any such report submitted to the General Manager of Environmental Services & City Engineer/Chief Building Official shall be implemented and completed to the satisfaction of the General Manager of Environmental Services & City Engineer/ Chief Building Official and at the expense of the builder before any building work progresses in such an instance;

(b) Requirements at the Development Agreement Stage

An appropriately worded clause similar to the one outlined in part (a) above be inserted into all development and subdivision agreements, on the understanding that such a clause should be able to accommodate the inclusion of the following special provisions, should they be required by the General Manager of Environmental Services & City Engineer/Chief Building Official:

- (i) a requirement for bore hole testing over the area covered by the agreements, and in the event that any heavy organics are detected, a requirement for methane gas tests in the area, before development proceeds;
- (ii) provisions that would allow the inclusion of recommendations pertaining to the removal of small deposits of heavy organic material before the development proceeds, or provisions that would provide for the designation of small detected areas of heavy organic deposits within developments, as greenbelt or park land sites;

it being understood that each development situation would normally be different, and would have to be the subject of negotiations leading to mutual agreement between the General Manager of Environmental Services & City Engineer/Chief Building Official and the developer;

(c) Future Monitoring

The General Manager of Environmental Services & City Engineer be authorized to undertake monitoring on a regular basis of all areas within the City where there may be potential methane gas problems and that the frequency of this monitoring cycle be adjusted as determined by the General Manager of Environmental Services & City Engineer, based on the current findings, changing environmental conditions and the season of the year;

(d) Floor Drains

The General Manager of Environmental Services & City Engineer Chief Building Official, in liaison with the City Clerk be authorized to initiate a regular insert in “Living in the City” to inform householders of the need to ensure that traps in basement floors are kept full of water for the following reasons:

Reasons

Provincial codes require that floor drains must be trapped to prevent infiltration of various substances into homes through the interconnected sewer system. Traps are normally filled with water to accomplish this purpose. In many cases the water evaporates out of the trap, and the purpose of the trap is nullified. Residents and homeowners tend to neglect this home maintenance. It is desirable that homeowners be made aware of the reason for traps in their drainage systems, and from time to time check to be sure that water is present in the trap. Dumping a pail or two of water into floor drains weekly is a good practice as it creates a minor flush which tends to eliminate possible odours, and at the same time ensure that the trap is functioning properly.

ADOPTED MAY 1, 1978 [2(5) AUG 2000]

Amendment Rationale:

Section 2(5)(a) of this policy is proposed to be significantly revised to align with the Ontario Building Code.

Section 2(5)(b) is recommended for deletion as these matters are covered under General Provision clause 25.3 of the approved template for Subdivision Agreements, adopted by Council on November 25, 2014. Likewise, clause 8 of the approved template for Site Plan Development Agreements (Site Plan Control Area By-law C.P.-1455-541) addresses requirements for methane gas reports.

The references to the General Manager of Environmental Services & City Engineer should be removed from all sections, except “Future Monitoring”. The other matters addressed by this policy are the responsibility of the Chief Building Official, who will consult with Environmental and Engineering staff as needed.

The specific reference to “Living in the City” under “Floor Drains” is revised to more general language to avoid the need for any future policy revisions.

Policy Update:

Methane Gas

That the following actions be taken in connection with methane gas:

- (a) Requirements at the Building Permit Application Stage
Where methane is known to exist on a property being the subject of a building permit application, the applicant shall submit a qualified consultant’s report to the Chief Building Official outlining the remedial measures required for the mitigation of methane during construction. Upon completion of construction and prior to any occupancy of the structure constructed or modified, as a result of the building permit issued, the permit holder shall submit to the Chief Building Official a qualified consultant’s report confirming said occupancy may be permitted and shall outline post-occupancy permanent methane mitigation measures.
- (b) Future Monitoring

The City Engineer be authorized to undertake monitoring on a regular basis of all areas within the City where there may be potential methane gas problems and that the frequency of this monitoring cycle be adjusted as determined by the City Engineer, based on the current findings, changing environmental conditions and the season of the year;

(c) Floor Drains

The Chief Building Official, in liaison with the City Clerk be authorized to initiate regular communications to inform homeowners of the need to ensure that plumbing traps in basement floors are kept full of water for the following reasons:

Reasons

Provincial codes require that floor drains must be trapped to prevent infiltration of various substances into homes through the interconnected sewer system. Traps are normally filled with water to accomplish this purpose. In many cases the water evaporates out of the trap, and the purpose of the trap is nullified. Residents and homeowners tend to neglect this home maintenance. It is desirable that homeowners be made aware of the reason for traps in their drainage systems, and from time to time check to be sure that water is present in the trap. Dumping a pail or two of water into floor drains weekly is a good practice as it creates a minor flush which tends to eliminate possible odours, and at the same time ensure that the trap is functioning properly.

2(6) Unprotected Excavations at Construction Sites

Service Area Lead: Development & Compliance

Type of Change: Technical Amendment

That the following policies be established with respect to the dangers of unprotected excavations at construction sites:

- (a) the Chief Building Official be instructed to take such action as ~~they~~ ~~he/she~~ deems necessary from time to time to abate dangers to the public which are created by abandoned excavations at building construction sites, after appropriate notice and opportunity to correct the situation has been provided to the owner of the excavated site;
- (b) the Chief Building Official shall report all circumstances requiring ~~them~~ ~~him/her~~ to take action under this policy to City Council at ~~their~~ ~~his/her~~ first opportunity; and
- (c) the ~~General Manager of Legal Services & City Solicitor~~ be instructed to recover the costs of abatement measures taken, upon notification by the Chief Building Official.

ADOPTED MARCH 16, 1981 [2(6) AUG 2000]

Technical Amendment Rationale:

This policy has been updated to reflect gender neutrality and current position titles.

2(7) Demolition Applications for Buildings in the Heritage Resources Inventory

Service Area Lead: Development & Compliance

Type of Change: Repeal

This policy has been deleted and replaced by Policy 19(27) relating to Demolition Control.
ADOPTED MAY 16, 1988, AMENDED APRIL 18, 2005 [2(7) AUG 2000]

Repeal Rationale:

Policy 19(27) addresses this issue; it being noted that 19(27) will need a technical amendment.

2(8) House Moving Permits

Service Area Lead: Development & Compliance

Type of Change: Repeal

That the following policies be established with respect to the issuance of house moving permits:

- (a) the issuance of house moving permits be handled administratively; and
- (b) the owners of property abutting a lot where a house is to be moved onto be notified in writing when an application for a house moving permit has been received.

ADOPTED OCTOBER 15, 1984; AMENDED MARCH 18, 1985; MAY 2, 1988 [2(8) AUG 2000]

Repeal Rationale:

Other provincial applicable legislation addresses this issue and does not reflect the current practices of the City.

Similar to comments for policy 2(3), permits are issued by Development & Compliance Services to move any building under By-law S-2. Required clearances from the Building Division are required for the 'demolition' permit (for the lawful removal of a building from its original site) and for the issuance of a foundation permit for the new site. Both aforementioned permits are issued under the jurisdiction of the Building Code Act.

2(9) Requiring Building Permits for Buildings Constructed More Than One Year Prior

Service Area Lead: Development & Compliance

Type of Change: No Change

That, as a result of the coming into force of Bill 20, the Land Use Planning and Protection Act, 1996, a policy be established by which the Chief Building Official (CBO) is authorized to put appropriate procedures in place such as requiring an applicant for a building permit to provide a sworn affidavit to satisfy the CBO that the construction for which a permit is being sought took place before November 16, 1995; and requiring independent evidence from other than an applicant verify that the said construction took place before November 16, 1995; and further, that the CBO be authorized to continue the "practice" outlined in the letter dated November 26, 1992 contained in [Appendix 2\(9A\)](#) with respect to permits for buildings that have been constructed for more than one year.

ADOPTED JUNE 17, 1996 [2(9) AUG 2000]

**2(9A) Appendix
Requiring Building Permits for Buildings Constructed More Than One Year Prior**

Date: November 26, 1992

To: Councillor Yorke
c/o Room 221, City Hall

From: R. Cerminara, P. Eng.
Director of Building Controls

Subject: Requiring Building Permits for Buildings Constructed More Than One Year

Your inquiry "as to who authorized the policy for not retroactively requiring a building permit for those buildings illegally constructed without a permit at least one year prior to being detected by the Civic Administration" has been referred to the writer for a response. This issue has been reviewed with R. A. Blackwell and K. L. Perry and the following response has been prepared.

Subsection 24(4) of the Building Code Act states:

"No proceeding under this section shall be commenced more than one year after the time when the subject-matter of the proceeding arose."

The Section referred to above is section 24, which deals with offences and fines. There is a difference of opinion in the interpretation "when the subject-matter of the proceeding arose". It has been argued that the "clock starts ticking" after the construction has been completed, and therefore, a person could not be prosecuted more than one year after construction was completed. Another view is that the "clock starts ticking" when the municipality became aware of the construction. This issue has not been litigated sufficiently to determine which view the Courts will take.

Notwithstanding the limitation period, while it may be appropriate to issue an order to obtain a permit to a person known to have constructed without a permit, even though it has been more than one year, it is very difficult and probably unenforceable to order the current owner of the building to take out a permit for work done by previous owners. In these cases, the only thing that one can do is inspect for unsafe conditions, as described below.

Section 10 of the Building Code Act deals with existing buildings and unsafe conditions. It would appear that once a complaint has been received regarding illegal construction, the municipality is obliged to follow up and to inspect to eliminate any unsafe conditions that might exist.

The issue of liability for the municipality is also a concern. Where construction has been carried out without a permit and a permit is issued after the fact, the municipality could be held liable for faulty construction which was not inspected. Therefore, in these cases, construction must be uncovered to the extent that the building inspector can be satisfied that construction conforms to the Ontario Building Code.

The policy of the Building Division has been that the municipality should not and will not be held liable for construction that has not been inspected by the municipality. The level of inspections on construction carried out without a permit would be similar to that carried out if the person had obtained a permit in the first instance.

In reply to your specific enquiry, the Building Division does require building permits be issued for work complete more than one year before detection if the person completed the work is the current owner. Secondly, construction plans must be prepared by the owner describing the construction. Thirdly, sufficient work must be exposed to satisfy the building inspector that compliance with the Building Code has been achieved. Where the owner refuses to uncover the work, the building will be deemed to be deficient and so noted on our files for subsequent purchasers. This problem of refusal will be taken care of by the new Building Code Act, Bill 112, which received Royal Assent on November 5, 1992 and will be proclaimed into force in the spring of 1993. The new Building Code Act provides the authority to have construction exposed where such construction was done without a building permit.

Where the work is determined to have been done by previous owners, the policy will be that a building permit will not be required, however, an inspection will be conducted to determine if there are any apparent unsafe conditions and if there are, orders will be issued to rectify these conditions and the remedial work itself may require a building permit.

I trust this is satisfactory.

R. Cerminara (signed)

cc. J. E. Fleming, R. A. Blackwell, K. L. Perry

Chapter 3: City Hall and Other Municipal Buildings

3(1) Tours onto 12th Floor Deck

Service Area Lead: Clerks

Type of Change: Technical Amendment

That a policy be established whereby City Hall tours onto the 12th floor open deck be restricted to persons 15 years of age or over, with the exception of children accompanied by a parent or guardian or other responsible person; it being pointed out that in such instances, it is to be made extremely clear to the parent or guardian by the tour guides that the children are permitted on the open deck at their responsibility.

ADOPTED AUGUST 3, 1971 [3(1)]

Amendment Rationale:

The policy is amended to remove the policy number, update the title, ensure wording consistency and make it known that tours may be cancelled at the discretion of the Civic Administration.

Policy Update:

Tours onto the 12th Floor Open Deck Policy

City Hall tours onto the 12th floor open deck shall be restricted to persons 15 years of age or over, with the exception of children accompanied by a parent or guardian or other responsible person.

The parent or guardian or other responsible person shall be informed by the City of London tour guide that the children are permitted on the 12th floor open deck at the responsibility of the accompanying parent or guardian or other responsible person.

3(2) Animals in City Hall

Service Area Lead: Human Resources & Clerks

Type of Change: Major Amendment

That a policy be established whereby no dogs or other animals, with the exception of seeing-eye dogs, will be permitted within the City Hall building, on the understanding that dogs, on a leash, will be permitted in the entrance lobby on the main floor.

ADOPTED NOVEMBER 8, 1971 [3(2)]

Amendment Rationale:

This policy is updated to remove the policy number update the policy title, general housekeeping amendments and, more significantly, to reflect current provincially-legislated accommodations for guide dogs or other service animals.

Policy Update:

Animals in City Facilities Policy

No dogs or other animals, with the exception of guide dogs or other service animals permitted under O.Reg. 191/11: Integrated Accessibility Standards, as amended, shall be permitted within a City owned facility, unless explicitly authorized under a Facility Rental Contract.

3(3) Use of Cafeteria as a Staff Facility

Service Area Lead: Clerks
Type of Change: Technical Amendment

That a policy be established to provide that the City Clerk be authorized and directed to take the steps necessary to de-emphasize the use of the City Hall cafeteria for purposes other than its originally intended use as a staff cafeteria facility.

ADOPTED JANUARY 16, 1978 [3(3)]

Amendment Rationale:

This policy is updated to remove the policy number and make minor wording changes for consistency.

Policy Update:

Use of Cafeteria as a Staff Facility Policy

The City Clerk shall take the steps necessary to de-emphasize the use of the City Hall cafeteria for purposes other than its originally intended use as a staff cafeteria facility.

3(4) Soliciting Funds in City Hall

Service Area Lead: Clerks
Type of Change: Major Amendment

That a policy be established to provide that permission to solicit for funds in City Hall be restricted to persons and organizations which have been granted permission by the London Police Services Board to solicit contributions of money from persons on the highways of the City of London pursuant to the Board's By-law No. 70 passed on November 27, 1965, and that such solciting in City Hall be confined to the three lobby areas adjacent to the elevators (main floor, lower level and basement level) between the hours of 3:30 p.m. and 5:00 p.m. on the Friday preceding the Saturday tag or fund raising day.

ADOPTED SEPTEMBER 5, 1978 [3(4)]

Amendment Rationale:

Amendments to this policy are required to remove the policy number, update the title, and make minor changes related to clarify who may solicit funds and where.

Policy Update:

Soliciting Funds in City Hall Policy

Subject to approval by the City Clerk, a registered charitable organization whose mission is in keeping with the City of London's established values may solicit funds from City of London employees. Such solciting shall be confined to the lower level and/or basement lobby areas of City Hall and shall be limited to one business day between the hours of 7:30 AM and 9:00 AM.

3(5) Smokefree Workplace Policy

Service Area Lead: Human Resources
Type of Change: Repeal

That the following actions be taken with respect to the establishment of a Smokefree Workplace Policy, namely:

- (a) effective April 1, 1991, City Hall and all civic external facilities (Fire Stations, Dearness Home, Greenway, Adelaide, Vauxhall, Pottersburg and Oxford Pollution Control Centres, and Bathurst and Adelaide Street Works Yards) become entirely smokefree;

- (b) employee involvement in a smoking cessation program of the employee's choice be sponsored by the City to a maximum employer contribution of \$100 per employee, provided the staff member remains a non-smoker for a continuous period of at least six months; and
- (c) effective April 1, 1991, the following actions be taken concerning smoking in the workplace at various facilities:
 - (i) City Vehicles - smoking be prohibited in all City vehicles at all times;
 - (ii) Fire Stations - all operations become smokefree, including common areas and the apparatus floor; and
 - (iii) Bathurst Works Yard - smoking be prohibited in the General Administration Conference Room while meetings are in progress.

ADOPTED FEBRUARY 19, 1990 [3(5)]

Repeal Rationale:

It is recommended that this policy be repealed. Since the policy was adopted, the Smoke-Free Ontario Act, S.O. 1994, c10 came into effect on May 31, 2006. It was expanded in 2015. Additionally in 2016, the Electronic Cigarettes Act was introduced. The act speaks to what the policy covered and goes over and above what has been noted. Additionally, the City no longer has a sponsored smoking cessation program. Information about smoking cessation programs is available through the Employee Assistance Program (EAP). City by-laws also in effect are: Smoke-free Workplaces by-law, PH-11, Smoke-free Public Places by-law, PH-10 and Smoking Near Recreation Amenities and Entrances, A-6924-85. There is also a Corporate Health and Safety Employee Awareness Information document titled Workplace and Public Smoking.

3(6) Charitable Organizations and Community Groups Involved in Fundraising Activities for City-owned Facilities

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That a policy be established to allow the involvement of charitable organizations and community groups in fund raising activities for projects related to the repair, enhancement or construction of City-owned facilities.

ADOPTED JANUARY 16, 1995 [3(6)]

Repeal Rationale:

An updated and more comprehensive donations policy that provides for the consistent treatment and guidance with respect to all donations that may be received by the municipality is included in the Financial Services Chapter. Therefore this policy should be repealed as fund raising activities are addressed in the updated donations policy.

3(7) Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements

Service Area Lead: City Manager's Office

Type of Change: Technical Amendment

That the policy set out in [Appendix 3\(7A\)](#) concerning the naming/re-naming or dedicating of municipal property, buildings and park elements be established.

ADOPTED DECEMBER 18, 2000, AMENDED APRIL 28, 2008

Amendment Rationale:

This report recommends updating Appendix 3(7A) to reflect current Service Areas and Standing Committee titles. This report also recommends that under the "intent" section a clause be added to exclude the recognition of fallen fire fighters and fire stations from the scope of this policy, as they are recognized through a separate process, approved by Council, which includes inscribing their name on a monument established for this purpose.

Policy Update:

Please See Appendix 3(7A) Policy Update

3(8) City of London Days at the Budweiser Gardens

Service Area Lead: Clerks

Type of Change: Technical Amendment

OBJECTIVE

The City of London agreement for partnership and lease of the Budweiser Gardens provides for up to five community-sponsored events on a “rent-free basis” provided the City or event sponsor pay for all direct and out-of-pocket expense incurred by the London Civic Centre Corporation.

TYPES OF EVENTS ELIGIBLE

The following types of events will be eligible:

1. City of London-sponsored events such as opening ceremonies for sporting events and major community celebrations, which have not previously used the facility in accordance with normal rental or use arrangements.
2. Not-for-profit sporting events which are of a provincial or national significance, including championships for high schools, colleges or universities located within the City of London, which have not previously used the facility in accordance with normal rental or use arrangements.
3. Major not-for-profit civic events which are celebrations or charity events of a local, community-wide nature and have a direct benefit to the London community, which have not previously used the facility in accordance with normal rental or use arrangements.

MAXIMUM EVENT DAYS

1. The City is limited to five event days each year.
2. No group can have more than one event day per year.
3. No group can have more than two event days over a five-year consecutive period, unless an exemption is approved by the Municipal Council due to unique circumstances.

EVENT DATES

The City of London shall provide sixty (60) days prior notice to Budweiser Gardens for use of the facility for a community-sponsored event, and the date of the event may not conflict or compete with events previously arranged or booked by Budweiser Gardens.

REQUIREMENTS OF USER GROUPS

1. The user group will be responsible for all direct and out-of-pocket expenses which are incurred.
2. The user group will be responsible for entering into an agreement with the Budweiser Gardens for use of the facility and all obligations arising from that agreement.
3. The user group will be responsible for all advertising, sponsorship and ticketing for the event subject to any conditions set out by the Budweiser Gardens.

CITY CONTACT

The City Clerk will be the primary contact for user groups and will be delegated responsibility to co-ordinate this policy.

APPROVAL

Council approval is required for all City events.
ADOPTED OCTOBER 6, 2003, AMENDED APRIL 28, 2008; OCTOBER 30, 2012 (By-law No. A.-6879-309); August 27, 2013 (By-law No. A.-7007-265)

Amendment Rationale:

This policy is updated for removal of policy number, updating of title, changes to maximum event days in keeping with current practice of permitting the United Way Harvest Lunch and Kick Off.

Policy Update:

City of London Days at the Budweiser Gardens Policy

OBJECTIVE

The City of London agreement for partnership and lease of the Budweiser Gardens provides for up to five community-sponsored events on a “rent-free basis” provided the City or event sponsor pay for all direct and out-of-pocket expense incurred by the London Civic Centre Corporation.

TYPES OF EVENTS ELIGIBLE

The following types of events will be eligible:

1. City of London-sponsored events such as opening ceremonies for sporting events and major community celebrations, which have not previously used the facility in accordance with normal rental or use arrangements.
2. Not-for-profit sporting events which are of a provincial or national significance, including championships for high schools, colleges or universities located within the City of London, which have not previously used the facility in accordance with normal rental or use arrangements.
3. Major not-for-profit civic events which are celebrations or charity events of a local, community-wide nature and have a direct benefit to the London community, which have not previously used the facility in accordance with normal rental or use arrangements.

MAXIMUM EVENT DAYS

1. The City is limited to five event days each year.
2. No group can have more than one event day per year.
3. No group can have more than two event days over a five-year consecutive period, **with the exception of the annual United Way Harvest Lunch and Campaign Kick-Off**, unless an exemption is approved by the Municipal Council due to unique circumstances.

EVENT DATES

The City of London shall provide sixty (60) days prior notice to Budweiser Gardens for use of the facility for a community-sponsored event, and the date of the event may not conflict or compete with events previously arranged or booked by Budweiser Gardens.

REQUIREMENTS OF USER GROUPS

1. The user group will be responsible for all direct and out-of-pocket expenses which are incurred.
2. The user group will be responsible for entering into an agreement with the Budweiser Gardens for use of the facility and all obligations arising from that agreement.

3. The user group will be responsible for all advertising, sponsorship and ticketing for the event subject to any conditions set out by the Budweiser Gardens.

CITY CONTACT

The City Clerk will be the primary contact for user groups and will be delegated responsibility to co-ordinate this policy.

APPROVAL

Council approval is required for all City events.

3(9) Use of Cell Phones and Pagers in Council Chambers – Prohibited

Service Area Lead: Clerks

Type of Change: Major Amendment

That a policy be established whereby the use of cell phones and/or pagers during meetings in the Council Chambers is prohibited. However, Personal Digital Assistants (PDAs) may be used on the understanding that all PDAs are kept on silent mode while meetings are in session. It is noted that in the event of an emergency, Council Members can utilize the Commissionaires as a point of contact for relaying messages to them.

ADOPTED JANUARY 24, 2005

Amendment Rationale:

This policy is amended to remove the policy number, update the title and reflect current technologies and best practices.

Policy Update:

Use of Cell Phones and Other Electronic Devices During Meetings of City Council or its Committees

All cell phones, computers, tablets, cameras and other electronic devices must be on silent mode during meetings of City Council or its Committees and may not be used in a manner that is disruptive to the meeting proceedings and/or does not comply with meeting procedures.

3(10) *Waiving Fees for Use of City-Owned Recreation and Community Centres – Repealed December 19, 2016*

3(7A) Appendix to Naming/Re-naming or Dedicating of Municipal Property, Buildings and Park Elements Policy

Updated Policy APPENDIX 3(7A)

That the following policy be established with respect to the naming/re-naming or dedicating of municipal property, buildings and park elements:

POLICY STATEMENT

It is the policy of The Corporation of the City of London that Municipal Council shall approve the Naming/Re-naming of all major external municipal property, buildings and park elements. Preference shall be given to naming/re-naming after significant geographical, neighbourhood and historical elements. On occasion, the Municipal Council may wish to acknowledge the activities and significant contributions made by organizations to the City of London or to society through the use of various tangible recognition naming options.

INTENT

The intent of this Policy is to:

- continue the current traditional practice of naming municipal property, buildings and park elements after significant geographical, neighbourhood and historical elements;
- recognize, on an exception basis, significant contributions that organizations (individuals may be considered in special circumstances with the exception of elected officials currently in office) have made to the public life and the well-being of the people of London; and
- provide direction on how to apply for approval to name, re-name or dedicate major external municipal property, buildings or park elements.

In instances where a naming request has been proposed as a result of receiving a significant donation toward the acquisition, creation or redevelopment of the property, building or element, consideration will be given to the sponsorship contribution being provided.

The recognition of fallen Fire Fighters and Fire Stations are not included in the scope of this Policy. Municipal property and buildings means: all real property including unimproved lands, buildings and structures owned by the City including but not limited to dedicated parkland, open space, recreational facilities, bridges, operations facilities and administrative office buildings. Park Elements mean: substantial structures or recreational aspects of a park such as trails, ball diamonds, gardens, playgrounds, washrooms and water elements.

NAMING PRINCIPLES

- Names shall be unique; name duplication and similar sounding names shall be avoided.
- Names should give a sense of place, continuity, belonging and celebrate the distinguishing characteristics and uniqueness of London.
- Names should maintain a long standing local area identification with the residents of London.
- Names shall be understandable to the majority of Londoners.
- Names shall not be discriminatory, derogatory or political in nature.
- Names shall be consistent with any other applicable City of London policies and naming standards.
- Names shall assist with emergency response situations by being consistent with street names and geographical locations.
- The form of signage shall be consistent with corporate signage and plaque guidelines.
- The cost associated with signage will be the responsibility of the City when the naming/re-naming has been initiated by the City and will be the responsibility of the community when the naming/re-naming has been initiated by the community.
- The City of London makes all final decisions concerning what is placed or occurs on City property and in its buildings.
- Names associated with a sponsorship will be considered when a donation amount relates to the construction value of an element.
- Naming or renaming shall not be made after an elected official currently in office.
- Council shall retain the right not to name certain facilities of broad community importance such as (but not limited to) City Hall.

NAMING PREFERENCES

1. Priority (in order of preference) shall be given to continuing the current naming/re-naming practice of City of London property and buildings after:

- a. the area or planning district in which the property or building is located to provide a geographical association to help the public to locate a park, bridge or building more easily;
 - b. the most dominant "constant feature either within or nearby" the selected site such as an associated significant ecological or natural resource feature
 - c. an historical name related to London's heritage and/or historical folklore;
 - d. an event or person of international, national or provincial significance; or
 - e. an organization (or individual, with the exception of ~~election~~ **elected** officials currently in office **or fallen fire fighter**) to recognize:
 - particular activities and significant contributions to the London community and/or society; and/or
 - outstanding contributions and/or sponsorships made toward the development and/or enhancement of a property or building.
2. Preference shall be given to naming City of London Elements (within parks or buildings) after an organization or an individual.

Specific Criteria When Naming/Re-naming after an Organization or an Individual

When a name of an organization (or an individual) is being considered the following criteria should apply:

- the contribution they have made to the public life and the well-being of London;
- the sponsorship contribution made toward the acquisition, creation or redevelopment of the property, building or feature;
- a direct relationship or association that existed between the place of residence of the individual and the property, building or element to be named;
- where a property, building or element is named after a sports or entertainment celebrity the type of element shall be associated with the celebrity; and,
- where the name of an individual or organization is so used, approval shall be obtained from the individual (their family) or the organization for such naming.

TYPES OF SITUATIONS APPLICABLE TO NAMING

There are six (6) main types of situations which provide the instigation for a naming which this Policy intends to address:

1. an opening or re-opening of a building or bridge, which may require donations;
2. a civic recognition;
3. international, national or provincial events/competitions
4. dedications to individuals;
5. new park development; and,
6. corporate sponsorship.

1. An Opening Or Re-opening of A Building or Bridge

For the opening or re-opening of a building which may be the result of a capital building campaign, Council approves the proposed business plan which includes a plan for contribution recognition upon receipt of public donations. Citizens of London contribute to this campaign for numerous reasons including being recognized through receiving appreciation from the City and/or having their name located on a plaque board or on a particular feature of the building or park. Donations made for a building campaign are usually collected by a community group toward the project.

The names of the Mayor, ~~Board of Control~~ **the appropriate Standing Committee of Council** and Ward Councillors may be noted on a recognition plaque when the names are those of the Council which approved the project.

2. A Civic Recognition

A civic recognition may be requested by a member of the public or may be initiated by the City itself to recognize a group or an individual's outstanding accomplishments, involvement or work in the local community or in a provincial or national forum.

3. International, National or Provincial Events/Competitions

A naming or re-naming of a building or an amenity within it in recognition of it being a venue for international, national or provincial events/competitions will occur to fulfill a condition agreed to by the City as part of its hosting obligations. Council may also consider the naming or re-naming of such a facility or amenity to recognize an individual, group or corporation who donates significantly toward meeting the cost of hosting the event/competition. The naming or re-naming may be for the duration of a specified number of years, at any time after which Council in its sole discretion may re-name the building or amenity.

4. Individual Naming Dedications

Dedications made to a person are often requested to celebrate a special occasion such as:

- a birth;
- a marriage;
- an anniversary;
- an accomplishment; or,
- a major landmark event, person(s) such as a retirement or happenings.

Options for naming/re-naming for Individual Naming Dedications are not covered as part of this policy. They can be found for naming of park features covered under The Commemorative Park Bench and Tree Program and The Storybook Gardens Brick Naming Program. Requests for naming dedications will not be granted for memorial purposes normally found at cemeteries nor will they be granted for elected officials currently in office.

5. New Park Development

~~The Planning and Development Department~~ **Planning Services** is responsible for naming new parks which are developed as part of the subdivision development process. The names selected for new parks continue the current naming/re-naming practice adopting the area, subdivision or planning district name in which the park is located to provide a geographical association to help the public to locate the park more easily.

6. Corporate Sponsorship

The City's Corporate Sponsorship **and Advertising Policy** outlines the situations and specific application criteria. It applies to all business relationships between The Corporation of the City of London and businesses which contribute either financially or in-kind to City programs, services or facilities in return for recognition, public acknowledgement or other promotional considerations. Only for cases of sponsorship which has an associated sunset clause, will a corporate name or advertising brand be used.

APPLICATION REVIEW AND APPROVAL PROCESS

Applicant(s) shall submit a written request for civic naming to the City Clerk. The written request shall provide the following:

- background information concerning the rationale for consideration of the request;
- biographical information if named after an organization (or an individual); and,

- documentation including letters from organizations and individuals providing substantial support for the request.

The applicant(s) must assume responsibility for securing consensus within the community with respect to the application. Opposition to the application must be addressed and resolved by the applicant(s).

Upon receipt of an application, the City Clerk shall circulate the application to applicable Civic Departments for review.

Application Review Process

Each application for naming/re-naming shall undergo a process which will:

- review the application for conformity with this policy;
- circulate the application to the appropriate internal stakeholders for comment on the suitability of the application:
 - to the Municipal Addressing Advisory Group (MAAG) which is comprised of **representatives from Development and Compliance Services, City Clerk's Office, Environment and Engineering Services and Emergency Service providers (Fire, Police and Ambulance)** to review all proposed external civic names for the purpose of minimizing confusion for emergency response situations;
 - to the Department of Planning and Development **Planning Services, Parks and Recreation, and Neighbourhood, Children and Fire Services** - for new park development naming, park re-naming and park elements;
 - to the Department of Environmental and Engineering Services - for bridge naming;
 - to the Department of Community **Parks and Recreation and Neighbourhood, Children and Fire Services** - for recreational facility naming;
- consult with external stakeholders in the community and identify possible objections and/or positive responses and determine the level of support for the requested civic naming; and
- determine whether or not a special event is planned to coincide with a formal naming ceremony.

Application Approval Process

Following completion of the application review process, the Civic Administration shall submit a report with the appropriate recommendation to the ~~Board of Control~~ **appropriate Standing Committee of Council** to either approve or not approve the naming/re-naming as requested by the applicant(s). The report shall include the following:

- a recommendation;
- rationale for recommended selection;
- confirmation of the individual's/organization's endorsement and community consensus;
- whether or not a ceremony is required;
- timing of the ceremony;
- future contributions to financing and ongoing maintenance (if applicable);
- the duration of time the name will be used (if applicable); and,
- other associated expenses with respect to signs, ceremonies, record keeping and how these costs will be addressed.

Special Circumstances

There may be special occasion where this above noted review process would not be followed (i.e., for a surprise civic naming). As an example, contests for naming are considered as a special circumstance requiring ~~Board of Control~~ approval **by the appropriate Standing Committee of Council**.

CIVIC RE-NAMING

The City of London believes that existing names have an historical significance and place within the community and should not be changed unless it is an exceptional situation and it can be proven that the majority of local community are in support of the change. Each application for re-naming will be examined on a case by case basis.

1. Priority for re-naming will be granted by Council in instances where a re-naming is a condition of the awarding of an International, National or Provincial Event/Competition and/or the duration of time agreed upon as part of this condition has expired.
2. Corporate Sponsorship naming initiatives have a specific sunset clause associated with the length of time that the corporate name will be used.
3. Civic names may be changed if there are specific circumstances that arise which warrant a review.

Options to re-naming of an entire building or property could include:

- adding another new name to the existing name; or,
- subdividing or portioning off a particular property or feature to be given a new name or sub name; or,
- placing the names of an organization (or individuals) on a plaque to recognize their contributions if it is found that it is inappropriate to name a particular property or building in its entirety.

APPROPRIATE NAMING OPTIONS FOR RECOGNITION OF DONATIONS

The significance of the contribution provided by the applicant will be consistent with the proposed recognition of this contribution by the City of London. Consideration of the following should occur before the appropriate option is selected:

- the significance of the contribution made relative to the construction and operating cost of the item being named; and,
- the cost of establishing the naming option e.g., the cost of the signage to be paid by the applicant unless the City has made the request for the name change.

There may be other appropriate ways of recognizing donations which are not covered by this Policy (e.g., internal facility naming, the dedication of plaques at a facility such as the use of donor plaque boards or the purchase of park features such as trees, benches and picnic tables).

A donation for the purpose of receiving civic naming acknowledgement is not a guarantee of name perpetuity.

Chapter 4: Centennial Hall

4(1) Use of Civic Square by Centennial Hall Events

Service Area Lead: Clerks

Type of Change: Technical Amendment

That a policy be established to permit the use of part of the Civic Square for events held in the Centennial Hall; it being pointed out that these uses would be restricted to display purposes, such as equipment and exhibits.

ADOPTED APRIL 16, 1968 [4(1) AUG 1999]

Technical Amendment Rationale:

A technical amendment are required to reflect the approval authority and word it in such a way that use of the Civic Square is not a given right, should there be something else happening in the Square that may conflict with use by Centennial Hall, or should the proposed use not reflect the Corporation's values

Policy Update:

Use of Civic Square by Centennial Hall Events

Subject to approval by the City Clerk, part of the Civic Square may be used for display purposes (e.g. equipment and exhibits) for events held at Centennial Hall.

4(2) Ushers and Doormen during Orchestra Events - REPEALED

ADOPTED JULY 5, 1976 [4(2) AUG 1999] REPEALED MAY 31, 2016 (By-law No. A.-7408-159)

4(3) Erection of Risers for Orchestra Events - REPEALED

ADOPTED JULY 5, 1976 [4(3) AUG 1999] REPEALED MAY 31, 2016 (By-law No. A.-7408-159)

4(4) Moving of Equipment for Orchestra Events - REPEALED

ADOPTED JULY 5, 1976 [4(4) AUG 1999] REPEALED MAY 31, 2016 (By-law No. A.-7408-159)

4(5) Move-in/Move-out Charges for Orchestra London - REPEALED

ADOPTED JULY 5, 1976; AMENDED SEPTEMBER 7, 1976 [4(5) AUG 1999]
REPEALED MAY 31, 2016 (By-law No. A.-7408-159)

4(6) Grants to Centennial Hall

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

That a policy be established to provide that should City Council wish to support an organization using Centennial Hall, it do so by giving direct financial assistance to that organization without any reference to Centennial Hall (as contemplated in Section 7 of the Proposals of the Provincial Government for Ontario Tax Reform); it being pointed out that by following this procedure, the organization receiving the financial assistance from the City would be expected to deal directly with the Management of Centennial Hall on the same basis as any other individual or group wishing to use the Hall and its facilities; it being further pointed out that the following concepts and understandings are hereby accepted by the City Council with respect to Centennial Hall, namely:

- (a) Centennial Hall was constructed as a multi-purpose building and because of this fact its diversity is its strength, permitting it to cater to a cross-section of the community; and

- (b) the original intention of City Council was that Centennial Hall would be managed as closely as possible in a private enterprise manner, and the City Council continues to support the Centennial Hall Management in this concept.

ADOPTED SEPTEMBER 7, 1976 [4(6) AUG 1999]

4(7) Reduced Rental Rates for Non-Profit Groups

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

That a policy be established whereby the rental of the auditorium to non-profit organizations which book a series of events, in advance, (at least six events per calendar year) and which require a very limited amount of set-up and maintenance is at a reduced rate. Such reduced rates will be included in the Rental Schedule for Centennial Hall as approved annually by City Council.

ADOPTED MARCH 5, 1979 [4(7) AUG 1999]

4(8) Objectives of Centennial Hall

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

That the following objectives pertaining to the operation of Centennial Hall be established:

- (a) to strive to operate the Hall on at least a "break-even basis";
- (b) to provide for the public hall needs of non-profit community groups and organizations;
- (c) to establish a rental fee structure for non-profit community groups and organizations that will permit continued use of the facilities by such groups and organizations;
- (d) to maximize revenues within a fee structure that recognizes reduced rentals for non-profit community groups and organizations;
- (e) to provide for the public hall needs of entrepreneurs and others for the promotion of business, conventions, cultural, entertainment, industrial and religious events;
- (f) to actively market the use of the facilities to increase revenues;
- (g) to carry out improvements to the facilities that will enhance the use of the facilities and increase the revenue potential; and
- (h) to maintain a high standard of maintenance of the facilities in keeping with the Civic Centre Complex.

ADOPTED APRIL 18, 1983 [4(8) AUG 1999]

4(9) Using Centennial Hall for City Sponsored Events

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

That a policy be established whereby the use of Centennial Hall for all City-sponsored or co-sponsored receptions or gatherings would be encouraged, where reasonable, and provided that the facility is competitive in price, available and capable of accommodating the event.

ADOPTED APRIL 16, 1984 [4(9) AUG 1999]

4(10) Lessee Protection and Non-Competitive Clauses

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

That a policy be established whereby the Manager of Centennial Hall is authorized to negotiate such lessee protection or non-competitive clauses, not exceeding thirty days between events having the same or similar audience appeal, as may be appropriate in the sole discretion of the Manager.

ADOPTED NOVEMBER 19, 1984 [4(10) AUG 1999]

4(11) London Convention Centre – Scheduling and Booking - *REPEALED*

ADOPTED JUNE 1, 1992 [4(11) AUG 1999]
REPEALED MAY 31, 2016 (By-law No. A.-7408-159)

Chapter 6: Dearness Home

6(1) Execution of Documents Prior to Admittance

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established requiring the execution of financial and legal documents prior to admittance to the Dearness Home; and that extraordinary cases be dealt with on their own merits.

ADOPTED DECEMBER 6, 1961 [6(1) AUG 1999]

Repeal Rationale:

Section 80 of the Long-Term Care Homes Act, 2007 and Section 227 of the Ontario Regulation 79/10 addresses the regulated document requirements to be used in a Long-Term Care Home. As a result, this policy is no longer required.

6(2) Termination of Residence

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established whereby the Dearness Home Administrator be empowered to terminate the residence in the Home of those residents conducting themselves in a manner detrimental to the operation of the Home or to the welfare of their fellow residents.

ADOPTED FEBRUARY 18, 1963 [6(2) AUG 1999]

Repeal Rationale:

Sections 144 and 145 of Ontario Regulation 79/10 and Ontario Regulation 79/10 address the authority levels and process regarding the termination of a residence in a Long-Term Care Home. As a result, this policy is no longer required.

6(3) Funeral and Burial Expenses

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established whereby the City Treasurer be authorized to retain and maintain \$1,000.00 for funeral and burial expenses in the general trust account of all Dearness Home residents who have assets in excess of this amount; it being noted that several residents are accumulating funds in their personal trust accounts by the amount of refund from their Old Age Security cheques.

ADOPTED DECEMBER 20, 1965; AMENDED MAY 31, 1974; MAY 15, 1978 [6(3) AUG 1999]

Repeal Rationale:

This policy is no longer relevant. It is not possible to retain and maintain \$1000 from residents as it is not mandated under the Long-Term Care Homes Act, 2007.

6(4) Inventory Prior to Departure

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That for the protection of Dearness Home Administrators and Assistant Administrators who may resign in the future, a policy be established whereby a complete inventory be taken of all equipment and furnishings on hand at the Home prior to their departure.

Repeal Rationale:

Dearness Home is required to comply with Corporation's Code of Conduct for Employees, Use of Technology Policy and procedures for Preventing Employee Theft Losses. As a result, this policy is no longer required.

6(5) Refund from Residents' Monthly Income

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established whereby the refund (from their monthly income) to all residents of the Dearness Home be in accordance with the regulations as authorized by the Ministry of Community and Social Services through regulations made under the *Homes for the Aged and Rest Homes Act*, R.S.O. 1990, Chapter H.13 from time to time.

ADOPTED JUNE 19, 1967 [6(5) AUG 1999]

Repeal Rationale:

Dearness Home Administration does not act as trustees to residents anymore and does not manage their finances. Residents pay the invoices and do not keep access money on their account. Any Comfort account money left after death is applied to the final invoice per the process addressed in the Long-Term Care Homes Act, 2007.

6(6) Minnie Rickard Bequest Fund

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established to provide that only the revenue earned by the Minnie Rickard Bequest Fund be used to purchase added comforts from time to time for the residents of the Dearness Home.

ADOPTED MAY 21, 1968 [6(6) AUG 1999]

Repeal Rationale:

A separate policy is not deemed to be required for the Minnie Rickard Bequest Fund as Policy 6(12) addresses the use of interest from Bequest Funds in general.

6(7) Inspections by Committee of Management

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established to provide for the semi-annual inspection of the Home by the Dearness Home Committee of Management (the Community and Protective Services Committee) being held at the Committee's first meeting in January with the second inspection approximately 6 months later at the discretion of the Committee.

ADOPTED OCTOBER 21, 1968 [6(7) AUG 1999]

Repeal Rationale:

In 2010, Council passed By-law A.-6582-255 to establish the Committee of Management for Dearness Home as per the Long-Term Care Homes Act, 2007. The accompanying staff report clarified that under the new legislation the Dearness Home Committee of Management served more in a governance role, rather than an administrative oversight role. Dearness Home is inspected yearly by the Ministry of Health as required by the Long-Term Care Homes Act, 2007. As a result, this policy is no longer required.

6(8) Purchasing of Items in Excess of \$500.00

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established to provide that the purchase by the Dearness Home of all items in excess of \$500.00 be made through the City's Purchasing Division.

ADOPTED OCTOBER 18, 1971 [6(8) AUG 1999]

Repeal Rationale:

This policy is no longer relevant or necessary. Dearness Home is subject to the Corporation's Procurement of Goods and Services Policy that identifies purchasing requirements.

6(9) Releasing of Assets Once Residents' Costs Paid

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Technical Amendment

That a policy be established to provide that whenever a resident of the Dearness Home dies, leaves the Home of **their** his own volition or is required to leave the Home and the City holds assets in trust on **their** his behalf, the ~~Finance Department~~ **City Treasurer or designate** be authorized to release the balance of such assets when the maintenance costs incurred by the resident have been paid in full.

ADOPTED JANUARY 17, 1972 [6(9) AUG 1999]

Technical Amendment Rationale:

This policy has been updated to reflect gender neutrality and to clarify the delegation of authority.

6(10) Execution of Will by Residents

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established to provide that when a resident is admitted, a simple form of Will should be executed by those who do not have one, it being pointed out that this will be of assistance in clearing the estate.

ADOPTED MARCH 20, 1972 [6(10) AUG 1999]

Repeal Rationale:

It is not mandated by the Long-Term Care Homes Act, 2007 to have families provide a Will to Dearness Home. It is recommended that this policy be repealed.

6(11) Funeral Expenses for Indigent Residents

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: No Change

That a policy be established requiring the Dearness Home to assume responsibility for the funeral expenses for indigent residents who die in the Home.

ADOPTED JUNE 19, 1972 [6(11) AUG 1999]

6(12) Interest from Bequest Fund

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: No Change

That a policy be established whereby the Administrator of the Dearness Home, after consultation with the Chair of the Dearness Home Committee of Management and the Residents' Council, be authorized to use the interest from the Bequest Fund for the purchase of suitable items for the Dearness Home and its residents.

ADOPTED JUNE 4, 1973 [6(12) AUG 1999]

6(13) Administration of Mortgages

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established to provide that no charge be levied to residents of the Dearness Home for administering mortgages held in trust by the City of London for their maintenance.

ADOPTED JULY 3, 1973 [6(13) AUG 1999]

Repeal Rationale:

Dearness Home Administration no longer not acts as resident trustees or manages resident's finances.

6(14) Personal Trust Funds

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That a policy be established to provide that in accordance with Section 35 of R.S.O. 1990, Reg. 637, made under the *Homes for the Aged and Rest Homes Act*, R.S.O. 1990, Chapter H.13, the Dearness Home Residents' Personal Trust Funds shall be released to the residents, or to such other person as may be duly authorized in writing by the resident to receive such funds, provided in the latter case that the Dearness Home Administrator is satisfied that any funds released to anyone other than a resident will be used for the sole benefit of the resident concerned; it being understood that Maintenance Trust Accounts (where they exist) which could involve substantial sums of money, and which are administered by and under the control of the Finance Division, are not in any way the subject of this policy.

ADOPTED DECEMBER 15, 1975 [6(14) AUG 1999]

Repeal Rationale:

Section 241(7b) of Ontario Regulation 79/10 addresses resident trust funds and Long-Term Care Homes are mandated to comply with legislative directives.

6(15) Admission Policy

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That the following policy be established with respect to admissions to the Dearness Home, namely:

- (a) in keeping with the current philosophy (guidelines) of the Senior Citizens Bureau of the Ministry of Community and Social Services, as set out in the Ministry's policy statement dated August, 1975 [See [Appendix 6\(15A\)](#)], the Administrator, subject to Sections (b) and (c), is authorized to admit to the Dearness Home applicants who, in the opinion of the Home Physician, qualify for Residential Care;
- (b) applicants who do not qualify for residential care nor fall under the Ministry's admission guidelines (e.g. extended care, under age between 55 and 60) may be approved for admission by the Committee of Management upon the joint

recommendation of and after an assessment by the Home Physician and the Home Administrator. Any such admission shall not result in changing the established bed ratio of 285 residential vs. 200 extended care nor shall it result in an increase in staff. Furthermore, any such admission where applicable shall be subject to the Ministry's approval;

- (c) in addition to the normal requirements a non-resident applicant may be considered for admission by the Committee of Management providing:
- (i) there is a vacancy and no waiting list exists, and one of the following three conditions exists:
- the applicant is able to pay full maintenance costs; or
 - the applicant was a former resident who resides in the City for at least three out of the ten immediate past years; or
 - the applicant's immediate family (son, daughter, brother, sister) resides in the City;
- (d) the Committee of Management shall report any admission to the City Council.

ADOPTED FEBRUARY 16, 1976 [6(15) AUG 1999]

Repeal Rationale:

Admission process and authority levels are addressed under Part III – Admission of the Residents of the Long-Term Care Homes Act, 2007 and Part III of Ontario Regulation 79/10, sections 152 to 210. As a result, this policy is no longer required.

6(16) Opening Residents' Mail

Service Area Lead: Housing, Social Services & Dearness Home
Type of Change: Repeal

That a policy be established whereby applicants for admission, as well as residents currently in the Dearness Home, on whose behalf the Corporation of the City of London is acting or will be required to act as Trustee, will be interviewed and invited to enter into an agreement with the Corporation of the City of London authorizing the Corporation's designated official to open mail addressed to the resident containing:

- (a) Cheques relating to maintenance charges;
- (b) Medical reports, records and payments required to facilitate the Home Physician in the performance of his duties;

it being noted that, an applicant for admission or a resident already in the Home who does not wish to enter into such an agreement with the Corporation of the City of London, will not be disqualified from residency in the Dearness Home.

ADOPTED APRIL 17, 1978 [6(16) AUG 1999]

Repeal Rationale:

Dearness Home Administration no longer acts as resident trustees and does not open resident mail; therefore this policy no longer relevant.

6(17) Committee of Management

Service Area Lead: Housing, Social Services & Dearness Home
Type of Change: Repeal

That the Community and Protective Services Committee (CPSC) be designated to continue to serve as the Committee of Management for Dearness Services under the

provisions of the *Homes for the Aged and Rest Homes Act*, R.S.O. 1990, and that a minimum of four meetings a year of the Committee of Management be held at the Home, it being noted that all matters relating to personnel, legal or property will be referred to the Board of Control for its concurrence prior to being recommended to the Municipal Council.

ADOPTED DECEMBER 3, 1979; AMENDED NOVEMBER 2, 1992, JUNE 17, 2002
[6(17) AUG 1999]

Repeal Rationale:

The Committee of Management for the Dearness Home was established in 2010 by By-law A.-6582-255, in accordance with section 132 of the Long-Term Care Homes Act, 2007. As a result, the policy is no longer required as these matters are addressed in the By-law.

6(18) Discharge Policy

Service Area Lead: Housing, Social Services & Dearness Home

Service Areas Requesting Involvement: None

Type of Change: Repeal

That the Discharge Policy set out in [Appendix 6\(18A\)](#) be established to facilitate a procedure for residents of the Dearness Home who require more nursing care than the Home is set up to provide and should be transferred to a chronic care facility.

ADOPTED APRIL 7, 1986 [6(18) AUG 1999]

Repeal Rationale:

Discharge policy, process and authority levels are addressed under Ontario Regulation 79/10, sections 144 through 151. As a result, this policy is no longer required.

6(19) Use of Low Flow Oxygen

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That the following policy be established to provide for the use of low flow oxygen in the Dearness Home in situations where there is chronic respiratory disease, on the understanding that the use of this policy would be undertaken only on the direction of the Home's Medical Director:

- (a) oxygen will be delivered only by use of low flow oxygen concentration;
- (b) low flow oxygen therapy will be used only for residents with chronic respiratory disease who are non-smokers and who can be housed in a private room. Fire hazard will be assessed by medical, nursing, maintenance personnel. Concentrators will not be used outside the designated private room;
- (c) the electrical safety of the equipment will be assessed by the maintenance engineers and by the company providing the oxygen equipment. The service agreement will be included with all such equipment. It must be recognized that the Dearness Home has back-up emergency electrical supply in the event of a power failure;
- (d) oxygen therapy is provided through the Ontario Drug Benefit Program and as such is covered to 100% of the cost, leaving no charge to be made to either the resident or the Home;
- (e) low flow oxygen therapy will be ordered by the physician by a written order specifying method of administration, rate of flow and number of hours per day. Administration of such therapy will be the direct responsibility of the registered nurse (who has had special in-service education in the operation of the equipment);
- (f) each involved discipline will develop a written procedure for the above equipment and its use in keeping with the Ministry guidelines for use of oxygen.

ADOPTED JULY 5, 1988 [6(19) AUG 1999]

Repeal Rationale:

It is recommended that this policy be repealed as the matters described are outdated. Additionally, the policy speaks to operational matters that should be addressed by Dearness Home Administration.

6(20) Preferred Accommodation Charges

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Major Amendment

That a policy be established whereby residents of the Dearness Home who are covered under the Extended Health Care Program and who have the ability to pay, be charged the additional rate of Preferred Accommodation to the extent provided for in the Regulations of the *Homes for the Aged and Rest Homes Act*, R.S.O. 1990, Chapter H.13; and that Preferred Accommodation charges be implemented as at November 15, 1989.

ADOPTED OCTOBER 2, 1989 [6(20) AUG 1999]

Amendment Rationale:

An amendment is required to update the applicable legislative references and provide more context and clarity regarding current practices for preferred accommodation.

Policy Update:

That a policy be established whereby residents of the Dearness Home who occupy a private room be expected to pay the additional rate of Preferred Accommodation to the extent provided for in the Ontario Regulation 79/10, sections 246 through 247 of the Long-Term Care Homes Act, 2007, section 91(2).

6(21) Holding of Beds

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That the policy set out in [Appendix 6\(21A\)](#) concerning the holding of Dearness Home residents' beds while out of the home or their permanent room be established, to be effective as of September 1, 1990.

ADOPTED JUNE 11, 1990 [6(21) AUG 1999]

Repeal Rationale:

This policy very outdated and is now addressed under the Long-Term Care Homes Act, 2007.

6(22) Level of Treatment Intervention & Health Care Directive

Service Area Lead: Housing, Social Services & Dearness Home

Type of Change: Repeal

That the policy set out in [Appendix 6\(22A\)](#) concerning the level of treatment intervention and health care directives be established.

ADOPTED MAY 2, 1994 [6(22) AUG 1999]

Repeal Rationale:

Level of treatment, interventions and health care directives are addressed under Part II – Residents: Rights, Care and Services of Ontario Regulation 79/10. As a result, this policy is no longer required.

6(15A) Appendix to Admission Policy

~~In the admission policy of every Home there should be an aspect of assessment and selection clearly understood by everyone, including Members of the Board or Committee, the Physician to the Home, the Administrator, the Nursing Supervisor and the Social Worker.~~

~~Since April 1, 1972, two levels of care are defined for Residents of Homes for the Aged: Residential, which corresponds to the type of care previously known as Normal (Ambulatory), and Extended Care. The services for Extended Care mean:~~

~~Care and maintenance given to a resident that includes skilled nursing and personal care given by or under the supervision of a registered nurse or where the Director approves, a registered nursing assistant under the direction of the physician of the Home appointed under subsection 4 of section II of the Act, for a minimum of one and one-half hours per day;~~

~~(Regulation 1, Section (ac) of the *Homes for the Aged and Rest Homes Act* and Regulations, R.S.O. 1990, Chapter H.13, and Regulation 1, Section (bb) of the *Charitable Institutions Act and Regulations*, R.S.O. 1990, Chapter C.9.)~~

~~Applicants for admission must be examined and classified by the Home Physician as requiring either Residential or Extended Care services. In Homes where the Corporation or Municipality has chosen not to provide Extended Care services, applicants who have been certified eligible for such care should not be admitted. The Ministry of Community and Social Services is discouraging Charitable and Municipal Homes for the Aged from unreasonably increasing the present accommodation for Residents who require Extended Care services. Many Residents in Residential Care, through progressive physical and mental deterioration, will eventually require Extended Care facilities and will have priority for accommodation over applicants from the community eligible for Extended Care benefits.~~

~~Within the two levels of care, i.e., Residential and Extended Care, the Home for the Aged team responsible for deciding on admission of applicants must still retain a clear appreciation of proper placement of an individual. In this regard, the familiar long-standing categories of Normal (Ambulatory), Special and Bed Care no longer apply, but the definition of these categories is an excellent guide in considering available and appropriate placement.~~

~~Normal Care has had a variety of descriptive titles, including Residential, Ambulatory and Domiciliary. For admission of applicants the following criteria should be established:~~

- ~~(a) The applicant is not ill, but is infirm, handicapped or disabled due to a previous injury or illness;~~
- ~~(b) The applicant is mentally or physically limited in his/her ability to properly care for himself/herself independently;~~
- ~~(c) Care required is primarily supervisory and some assistance with activities of daily living;~~
- ~~(d) The medical condition is known to be stabilized or under clinical control;~~
- ~~(e) The treatment, if any, is standardized and includes only maintenance medication;~~
- ~~(f) Care needs cannot be met adequately with the services available in the community. Care needs through Outreach services such as Homemakers and Nursing Services, foster home care, and Meals-on-Wheels, etc., should be fully explored.~~

~~Special Care is necessary for those Residents who have a high degree of mental confusion and loss of intellect. Consequently, they must depend on someone to guide and protect them. Their degree of dependency can vary from mild bouts of mental confusion to almost complete loss of consciousness of their environment. Tendency to~~

wander and lose themselves, once out of the Home, is always a concern and some restriction of movement is required to guard against serious consequences. In this category are many congenital and acquired mental impairments. Those suffering from cerebral arteriosclerosis or senile dementia are the most common. Advanced Parkinson's disease accounts for a fair number; less frequent are the cerebral palsies.

Physicians must be aware of the legal distinctions between commitment under the *Mental Health Act*, R.S.O. 1990, Chapter M.7, and necessary appointment of a committee under the *Mental Incompetency Act*, R.S.O. 1990, Chapter M.9. The *Homes for the Aged and Rest Homes Act*, R.S.O. 1990, Chapter H.13, per se (and certainly the *Charitable Institutions Act*, R.S.O. 1990, Chapter C.9) does not give any type of committal power to Home authorities.

Bed Care is required for those who, because of their infirmities, are required to spend a greater portion of their time in bed and are dependent on others for assistance in feeding and moving out of bed. The title "Bed Care" does not imply that they are necessarily unable to be moved out of bed to sit safely supported in a chair for various periods of time. This may be a terminal stage of senility or due to the advanced stage of otherwise stable chronic disease and accounts at this time for a good percentage of the Residents of most of the Homes for the Aged, more particularly in Municipal Homes in contrast to those in Homes operated by Charitable Corporations.

No person should be admitted to a Home for the Aged or maintained in the Home whose health or well-being might be considered to be in jeopardy, because a Home does not and should not supply the treatment or facilities of a hospital or related health-care facility. A good guide to the care that should be supplied by a Home for the Aged is the level of care that could be expected in an individual's own home in the community.

Some situations with which a Home is not prepared to cope are as follows:

Active Infections

No person running a fever or exhibiting active disease, such as inflammation of joints or wounds, chest infections including tuberculosis, skin infections and infestations.

Open Sores and Unhealed Wounds

From such as eroding carcinoma, various ulcers or unhealed wounds, surgical or traumatic. All these require special dressings and sterile techniques. This does not apply to clean-healing incisions (post-operative).

Indwelling Catheters

To prevent contracted bladder and genito-urinary infections, these persons need constant laboratory control, precise sterile techniques and facilities for producing sterile trays. An individual with a supra-pubic cystostomy may be admitted providing it is functioning satisfactorily and there has been a complete urological investigation and consultation.

This policy on indwelling catheters has the full endorsement of the Advisory Committee on Geriatric Studies of the Minister of Community and Social Services, such prominent specialists in urology as Dr. Peter O. Crassweller, F.R.C.S.(C), F.A.C.S., Chief of Urology, Toronto Western Hospital, and Dr. Gerald Ranking, F.R.C.S.(Eng), F.R.C.S.(C), the Ontario Association of Homes for the Aged, Home Physicians and Directors of Nursing. They have consistently taken the position that the care of persons requiring indwelling catheter drainage is not one with which the staff of a Home for the Aged is prepared to cope.

Colestomy

Is not a barrier to admission if well controlled and not requiring undue nursing attention.

Terminal Disease

The term alone indicates it is disease-oriented and the facilities of the Home are not designed for P.R.N. orders or continuing emergency coverage. A less restrictive policy should apply where terminal disease has developed during long-standing residence in the Home. Unless complications develop that require special nursing care and treatment

facilities not available, subject to the physician's decision the Resident may be allowed to live out the life remaining in the Home.

Inherently Unstable Conditions

These include mental and physical disease. The Home is not the place for active paranoid or constant or explosive mental illness. Obstreperous or noisy individuals who would be a continuing source of annoyance to other Residents should not be admitted. The Home must be seen as a living environment - a "home" in the truest sense of the word to the majority of elderly men and women who reside therein. Individuals suffering from mental illness or mental deficiency who require care, supervision and control for their own protection or welfare or the protection of others, as defined in the *Mental Health Act*, R.S.O. 1990, Chapter M.7, should be admitted to a Mental Hospital or other psychiatric facility.

Memorandum #34/73 "Admission from Psychiatric Facilities" should be consulted for further clarification of procedures for dealing with psychiatric problems.

Unstable or poorly controlled epilepsy, brittle or unstable diabetes, cardiac or pulmonary insufficiency requiring oxygen administration, or those with a haemorrhagic diathesis, from such as gastro-intestinal or genito-urinary sources which could conceivably necessitate emergency transfusions, require more nursing care and disease control than is available in a Home for the Aged, and should not be admitted.

Toxic Drugs

The control of drug administration is the responsibility of the Home Physician. When he prescribes drugs which require frequent clinical checks and periodic laboratory analyses to avoid serious side effects, i.e., hypotension, agranulocytosis, anaemia, leucopenia, potassium depletion, liver and kidney damage, etc., it indicates that such testing facilities are readily available, that he is familiar with the contraindications to their use (particularly in elderly people), and he assumes such follow-up assessment as is recognized good clinical practice. If this is not available and such medication is required, as posted in admission forms, the Home Physician should recommend rejection of the application and the Members of the Board or Committee should refuse admission. In the event an attending physician wishes to continue to treat and prescribe for a Resident, he must take complete twenty-four hour responsibility for the clinical and laboratory follow-up on any medication he may order to be given and such orders must be signed by the prescribing physician.

Incomplete Convalescence

A Home for the Aged is not intended as a convalescent hospital. Because of the orientation and purpose of a Home, admitting applicants or re-admitting Residents who have been transferred to a general hospital for medical or surgical treatment, before recovery is established and stable, may well endanger their potential maximum return to health. Therefore, no one should be admitted or re-admitted who is in unstable and uncertain phases of recovery from infections, accidents or surgery.

Lawrence Crawford
Director

Angus N. McKillop
M.D., F.R.C.S.(C)
Chief Physician

August, 1975

6(18A) Appendix to Discharge Policy

When one or more of the following criteria are met, an assessment for discharge will be made by the Discharge Committee of Deerness Home and the individual will be placed on a prioritized list for discharge.

CRITERIA FOR DISCHARGE

- (1) Persons who are socially incapable of peaceful social co-existence with others by reason of over-indulgence in alcohol or illicit drugs.

~~(2) — Persons who are suffering from psychotic mental illness to the extent that they require treatment in a psychiatric facility.~~

~~(3) — Persons who have become physically disabled to the point of requiring treatment in a chronic care hospital setting.~~

~~(4) — Persons who wish to transfer to other Homes for the Aged for personal reasons.~~

~~(5) — Persons who wish to leave the Dearness Home for personal reasons and who have set up satisfactory alternative living arrangements.~~

~~The GUIDELINES for the Discharge Committee are as follows:~~

~~With respect to the individual needs of some Residents whose needs may not be met by the Home owing to either Home policy or Home capability and those Residents who wish to voluntarily withdraw from the Home, there shall be a Discharge Committee composed of the following members:~~

~~(i) — Medical Director~~

~~(ii) — Manager of Nursing Services~~

~~(iii) — Administrator and/or Assistant Administrator~~

~~(iv) — Registered Nurse (Unit Supervisor)~~

~~(v) — Resident and/or next-of-kin~~

~~(a) — All members shall have opportunity for input into specific resident assessment with respect to discharges but the Medical Director and Administrator must offer a joint opinion for discharge.~~

~~(b) — The Committee shall meet as often as necessary.~~

~~(c) — Written documentation on behalf of the Committee shall be entered on the multi-disciplinary progress note.~~

~~(d) — Before discharge is recommended, the Committee shall explore every possible option and, prior to discharge, explore and assist with appropriate referral; it being understood that every attempt will be made to ensure that the discharge be as least traumatic as possible to the resident and their next-of-kin.~~

6(21A) Appendix to Holding of Beds Policy

POLICY:

~~To provide guidelines for (1) resident vacation and (2) bed retention, both within and outside of the Home.~~

PROCEDURE:

~~(1) — Where a resident has been transferred to an infirmary room from his/her room and there is a reasonable expectation he/she will be able to return to that room, there will be a regular and ongoing review of the resident's status. The underlying premise is that the resident will return to his/her regular room at the earliest opportunity.~~

~~(2) — Where a resident has been transferred to another room, other than an infirmary room, from his/her regularly occupied room and the transfer is for a duration exceeding seven consecutive days, the transfer will be deemed to be permanent. Amendments to the resident record system will be initiated immediately upon permanent transfer, by the Unit Manager.~~

~~(3) — Where a resident qualifies for residential care and is in hospital, the resident shall be charged the full per diem.~~

~~(4) — Where a resident qualifies for residential care, is in hospital for over 90 days, and wishes to retain his/her room, the request will be subject to review by the Dearness Home Admissions & Discharge Committee.~~

- ~~(5) — Where a resident qualifies for extended care and is transferred to hospital, he/she will be charged 100% of the extended care co-payment for the period established by the regulations. After this period has elapsed (currently 14 days) he/she will be charged the full residential per diem. If after 90 days, he/she wishes to retain his/her room, the request will be subject to review by the Dearness Home Admissions & Discharge Committee. Upon re-admission, he/she will automatically regain his/her former extended care status.~~
- ~~(6) — Residents who qualify for residential care may leave the Home on vacation subject to provincial guidelines but will not be exempt from paying the daily per diem.~~
- ~~(7) — Residents who qualify for extended care may leave the Home for vacation subject to provincial guidelines but will not be exempt from paying the daily per diem.~~

~~6(22A) Appendix to Level of Treatment Intervention & Health Care Directive Policy~~

~~PREAMBLE & PHILOSOPHY:~~

~~Our Dearness Mission Statement expresses our commitment to:~~

- ~~— Providing the opportunity for each resident to experience a quality of life which enhances the dignity of the individual.~~
- ~~— Developing each resident care plan with the participation of the resident and their family.~~

~~Our Dearness Residents' Rights Statement recognizes a residents' right:~~

- ~~— To refuse medical treatment and medication and to be informed of the medical consequences of any refusal.~~

~~Each resident shall have the right to choose the level of intervention that will be effected for acute inter-current illness.~~

~~POLICY:~~

~~In the event of a witnessed cardio-respiratory arrest, the acute care level of intervention, which includes C.P.R., will be initiated unless the resident, or their representative, has expressed a desire for a less intense intervention.~~

~~PROCEDURE:~~

~~Procedure Pre-Admission~~

- ~~(1) — Prospective residents will be informed about and provided a copy of the Level of Treatment Intervention and Health Care Directive by the Admissions Co-ordinator.~~
- ~~(2) — If the prospective resident wishes to discuss the options described in this policy, we will offer them the opportunity to discuss the options with the Manager of Nursing Services and other members of our Dearness Care Team. We would also encourage prospective residents to discuss the options with their families, friends, cleric, attending physician, or other trusted individuals.~~

~~Procedure Post-Admission~~

- ~~(1) — Medical treatment options will be reviewed with the resident/representative/power of attorney prior to the first Care Team meeting. In doing this, the Unit Manager will co-ordinate referral and/or assistance from all members of the Care Team.~~
- ~~(2) — The health care directive will be a routine item for discussion at the initial and all subsequent Care Team meetings. At each such meeting, the attending physician is expected to provide the resident/power of attorney with a clear picture of the current medical status, along with expected outcomes from any aggressive~~

treatment for acute intercurrent illness (ie. pneumonia).

~~(3) At the time of the Care Team meeting, the resident/representative/power of attorney will be requested to provide direction to the Attending Physician as to their preference with respect to the level of intervention expected. Any need for intervention prior to this meeting will be dealt with as necessary.~~

~~(4) The categories of intensity of intervention are:~~

~~Supportive Care: Provide comfort measures such as personal care and pain relief. No C.P.R.~~

~~Limited Care: Do give antibiotics and other medications orally. No intravenous therapy. No C.P.R.~~

~~Moderate Care: Medications may be administered via I.V. therapy. Also consider transfer to acute care for treatment. No C.P.R.~~

~~Acute Care: C.P.R. is started. (Dearness staff with certificate of competence.)~~

~~(5) The resident/representative/power of attorney direction will be entered on the resident chart as a Physician's Order.~~

~~(6) The Attending Physician will review the order at least quarterly or at the request of the resident/representative/power of attorney and indicate on the quarterly medication review.~~

~~(7) For residents deemed incompetent, current legislation will prevail.~~

~~(8) If there is a question of competency, the Attending Physician may request a second medical or legal opinion.~~

~~(9) If the resident/representative/power of attorney wishes a change in the health care directive at any time, this wish will be respected. Thereafter, participants in the decision for change will meet with the attending physician to review the resident's current intensity of intervention level.~~

REFERENCES:

C.P.R. (Cardiopulmonary Resuscitation)

~~What is C.P.R.? It is an emergency procedure which attempts to restore breathing and heartbeat in a person whose heart or breathing, or both have stopped (cardio-respiratory-arrest). THE EVENT MUST BE WITNESSED. The objective of this basic life support is to take over for these failed body functions for a limited period of time. It must be followed by advanced life support in a hospital, which may include drugs, mechanical ventilation, or other technology.~~

Chapter 8: Financial Services

8(1) Payroll Deduction for Canada Savings Bonds

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That a policy be established to provide that whenever Canada Savings Bonds (C.S.Bs) are being offered for sale, the Director of Human Resources and the City Treasurer be authorized to make the necessary arrangements for payroll deductions.

ADOPTED NOVEMBER 19, 1962

Repeal Rationale:

Since this policy was adopted, it has been an administrative practice to provide for payroll deductions to purchase Canada Savings bonds for staff wanting to participate in the program. In the latest federal budget released on March 22, 2017, the Government of Canada announced it will discontinue the sale of Canada Savings Bonds (CSBs) as of November 2017. Therefore, since this is a long standing administrative practice, the policy should be repealed and replaced with an administrative practice/procedure until the sale of CSBs are officially discontinued.

8(2) Notice of Tax Arrears Interest Rate - REPEALED

ADOPTED FEBRUARY 15, 1971; REPEALED DECEMBER 19, 2016 (By-law No. CPOL.-5-30)

8(3) Appropriation Transfer Policy - REPEALED

ADOPTED MAY 6, 1975; REPEALED MARCH 22, 2016 (By-law No. A.-7368-94)

8(4) Capital Budget Appropriation Policy

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That the following policy be established, namely:

- (a) the annual Capital Levy, once adopted by Council, be transferred to a capital account designated "Capital Receipts Account";
- (b) as projects to be financed from Capital Levy are initiated, the City Treasurer be authorized to transfer appropriate funds from the Capital Receipts Account to the Capital Project Account;
- (c) each department responsible for a project in the Capital Works Budget report to the Finance Division bi-monthly, beginning May 31 each year, on capital works financing that might be released due to project delays and/or project costs below budget;
- (d) beginning June 30 each year and bi-monthly thereafter, the Finance Division, through the office of the City Manager, submit to the Board of Control status and activity reports with respect to the Capital Receipts Account and the current year's debenture quota;
- (e) exclusive of Industrial Land sales receipts, all capital receipts arising from the sale of assets or from surpluses in construction accounts to be closed be transferred to the Capital Receipts Account;
- (f) in cases where additional capital financing is required during the course of a fiscal year, the City Treasurer will recommend to the Board of Control, through the office of the City Manager, the sources of such financing; it being noted that the uncommitted balance in the Capital Receipts Account shall be utilized as a source

of financing in appropriate cases;

- (g) the year-end uncommitted balance in the Capital Receipts Account will be applied to reduce the next year's provision in the current budget for that year's capital levy; it being noted that any unused debenture quota automatically lapses at the end of the year.

ADOPTED DECEMBER 15, 1975

Repeal Rationale:

The current policy:

- Provides guidelines on the appropriation of the capital levy to the capital receipts account, once approved by Municipal Council.
- Establishes transfer authority once capital projects are initiated.
- Outlines the reporting guidelines for city departments carrying out a project within the capital works budget.
- Establishes the reporting guidelines for the Finance Division to Board of Control.
- Provide guidelines for:
 - surplus capital receipts from closed projects;
 - cases where additional capital financing is required; and,
 - year-end uncommitted balances in the capital receipts account.

The current policy can be repealed because:

- The policy was created at a time when capital levy was approved as a whole and capital projects were approved without a source of financing.
- Current practice is that Municipal Council approves the detailed source of financing for each capital project in the budget, so the appropriation of capital receipts to capital projects is not necessary.
- Revised reporting guidelines and City organizational structure are reflected in the new Capital Budget and Financing Policy.

8(5) Accounts Receivable and Collections Policy

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

1. Policy Statement

This policy constitutes The City of London's (the "City") statement of policies and goals relating to the procedures and collection of accounts receivable.

This policy is to provide authorization and guidelines for the write-off of uncollectible miscellaneous and POA receivables. It identifies the steps to be taken to collect payment of invoices, establishes conditions under which an invoice may be cancelled or written-off and defines authorization levels for write-offs.

2. Definitions

"Write-off" – means to remove an account receivable from the City's accounts receivable records.

"Receivables" – represent claims for money, goods, services and/or other non-cash assets.

"Accounts Receivables" – are generally represented by a sales invoice or some other form. Under generally accepted accounting principles, accounts receivable are assets that are recognized when the revenues are earned.

3. Purpose

- To establish the responsibilities, internal controls, authorizations and procedures for the accurate and timely preparation and collection of customer invoices for goods and services rendered by the City.
- To ensure that all revenues earned by the City and all Accounts Receivables owed to the City, are accounted for and recognized in the financial statements according to Canadian Generally Accepted Accounting Principles (GAAP).
- To guide the management of accounts receivables to ensure timely collections of financial assets in order to maintain a positive cash flow.
- To minimize the financial exposure to bad debts and maximize revenue recoveries.

4. Scope

The scope of this document is intended to cover the various aspects of the collection process for Provincial Offences Act fines and miscellaneous revenue.

5. Statement of Policies and Goals

- a) Collection administration of Provincial Offences Act Fines – Part I and III
- b) Collection administration of Miscellaneous Accounts Receivables
- c) External collections efforts: Collection agencies
- d) Cease collection and write-off of uncollectible accounts

A. COLLECTION ADMINISTRATION OF PROVINCIAL OFFENCES ACT FINES – PART I AND III

As per the *Provincial Offences Act* the payment of a fine is in default if any part of it is due and unpaid for fifteen days or more.

A *defaulted* fine remaining outstanding for 91 days from the date of the offence is subject to collection activities as regulated in section A of this policy.

The collection process for these defaulted fines may include all or some of the following steps:

- Scrubbing or cleaning the data, through skip trace processes to identify new addresses, telephone numbers, such as:
 - search for place of employment,
 - search for property,
 - credit bureau searches,
 - corporate searches,
 - Ministry of Transportation searches using driver licenses and plate number
- Automated phone campaign
- Letter campaign
- Civil litigation such as:
 - filing of Certificate of Default in Small Claims Court and Superior Court,
 - filing of Writs of Seizure and Sale of Lands,
 - filing of Garnishments
- Placement with collection agencies.

Outstanding accounts are sent to a collection agency as soon as it is determined that internal collection efforts will not satisfy the debt.

B. COLLECTION ADMINISTRATION OF MISCELLANEOUS ACCOUNTS RECEIVABLES

Invoices

Invoices are issued for services or items provided by the City and payment is not received prior to or at the moment of the transaction. Invoices are required to be prepared and authorized by the originating service area in a timely manner. Invoices should be issued immediately after the delivery of the goods or service to the customer, and in any case not later than 30 days from such date. Invoices should be mailed out within 3 business days of issuance as the interest calculation period is based on the invoice date.

Returned Items

Returned items are cheques received by the City and returned by the bank as not negotiable (i.e. insufficient funds, stop payments, account frozen, etc) or credit card transactions declined

or illegitimately refused by the cardholder. Financial Services will advise the originating service area within 6 business days from the date of notification from the financial institution that a cheque was not negotiable or a credit card transaction was declined or refused. The originating service area should attempt a first collection step notifying the customer in writing of the returned cheque or of the declined/disputed credit card transaction.

Returned items may be subject to an administration fee as regulated by the City's Various Fees and Charges By-law.

Collection of Overdue Invoices

The collection process for these miscellaneous accounts receivable may include all or some of the following steps:

- Issuance of monthly statements
- Direct contact with customers with overdue accounts
- Letter and phone campaign
- Placement with collection agencies
- Transfer of balance to the tax roll
- Offset against invoices owed to them by the City
- Further civil enforcement through the City Solicitor's office.

C. EXTERNAL COLLECTION EFFORTS: COLLECTION AGENCIES

A collection agency is a third party organization engaged by the City for the collection of defaulted accounts. Section 304 of the *Municipal Act* authorizes the use by a Municipality of a registered collection agency for the recovery of a debt. Third party registered collection agencies shall be authorized for the collections of defaulted accounts. To maximize collection efforts the City may use multiple collection agencies.

The collection agency utilizes various collection techniques and tools to locate debtors and obtain payment of the debt. The collection agencies may also place trade lines on the debtors, which may affect their credit rating.

The City defaulted accounts listed with an agency that remain outstanding after an established period of time may be transferred to another agency for further collection activities. The transfer of the accounts to different agencies ensures that accounts remaining outstanding are worked by more than one collection agency to maximize collection recovery. Defaulted accounts may be transferred to more than one collection agency before they are recalled back to the City for write-off authorization.

At no time will more than one collection agency attempt collection of the same debt.

Administration fee added to defaulted accounts forwarded to a collection agency:

Collection agencies charge a percentage commission fee on the amount collected on behalf of the City.

The charge of an administration fee to all defaulted accounts that are transferred to a collection agency is authorized as approved in the City's Various Fees and Charges By-law. The administration fee offsets the cost of employing collection agency commission fee by recovering those fees directly from the debtors.

D. CEASE COLLECTION AND WRITE-OFF OF UNCOLLECTIBLE ACCOUNTS

Civic Administration shall prepare two reports for City Council's information on an annual basis prior to December 31st of every year. One report will be with respect to collections of POA Accounts Receivable and the second report will be with respect to the collection of Miscellaneous Accounts Receivable. The two reports will include a list of recommended accounts for ceasing collection efforts and write-off.

Report A – Request for Write-off of Provincial Offence Act (POA) Accounts Receivable

This report seeks authorization to cease collections efforts and removal of the fine from the electronic record for POA Accounts Receivable deemed uncollectible.

Report B – Request for Write-off of Miscellaneous Accounts Receivable

This report seeks authorization to cease collections efforts and write-off in the General Ledger for Miscellaneous Accounts Receivable deemed uncollectible.

Provincial Offences Act (POA) Fines (Parts I and III) deemed uncollectible

An outstanding POA fine (Part I and III) that is deemed uncollectible will be recommended to Council for ceasing collection efforts and removing from the electronic system.

A POA fine is deemed uncollectible when:

- a) all appropriate collection steps as per this policy have been exhausted, and
- b) the account is older than 6 years + current year

An exception to the above would be in the event that:

- A death certificate of the debtor is received; or
- A sworn affidavit indicating that the fine was previously paid is received; or
- A clerical adjustment is required due to settlement of the account

Provincial Offences Act (POA) Accounts Receivable

Provincial Offences Act (POA) accounts receivables which are deemed uncollectible, the authorization for write-off of "uncollectible" POA accounts receivable will be as follows:

Dollar Value of POA Account	Person or Body Responsible for Deciding Further Action
\$0 to \$2000.00	Manager III, Courts Administration or delegate and Director, Financial Services or delegate
\$2000.01 to \$10,000.00	City Treasurer or delegate and City Manager or delegate
over \$10,000.00	City Council

Miscellaneous Accounts Receivables - deemed uncollectible

Miscellaneous accounts receivable are deemed uncollectible and therefore recommended for write-off when all appropriate collection steps have been exhausted.

An exception to the above would be in the event that:

- Request in writing from the originating department indicating that the account was billed in error is received
- Death certificate of the debtor is received
- Sworn affidavit indicating that the account was previously paid is received
- Bankruptcy notice is received
- Clerical adjustment is required due to the settlement of the account

Miscellaneous Accounts Receivables

Accounts receivable which are deemed uncollectible, the authorization for write-off of "uncollectible" miscellaneous accounts receivable will be as follows:

Dollar Value of Account	Person or Body Responsible for Deciding Further Action
\$0 - \$2000.00	Manager II, Accounting or delegate and Director, Financial Services or delegate
\$2000.01 to \$15,000.00	City Treasurer or delegate and City Manager or delegate
over \$15,000.00	City Council

6. Accountability and Administration:

The City Treasurer or delegate is authorized to implement and/or modify any procedures as necessary to comply with this policy.

ADOPTED JANUARY 5, 1976; APPENDIX AMENDED NOVEMBER 21, 1983;
DECEMBER 17, 1984 [8(5) AUG 2003];
DECEMBER 19, 2016 (By-law No. CPOL.-1-27); MARCH 21, 2017 (By-law No. CPOL.-10-99)

8(6) Processing of Accounts Prior to Current Budget Approval

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That a policy be established to provide that, pending approval of the current budget in any year, the City Treasurer is authorized to process accounts for payment as follows:

- (a) in the case of membership fees, subscriptions, travel and convention expense, and expenses for attendance at courses and workshops, up to an amount not exceeding 50% of the previous year's budget appropriation;
- (b) staff costs within the approved complement; and
- (c) routine operating expenditures for previously established service levels.

ADOPTED JANUARY 17, 1977

Repeal Rationale:

This policy was adopted January 17, 1977 to allow service areas to process accounts for payment based on the prior year's budget pending the approval of the current budget in a given year. In 2016, the City implemented a multi-year budget process and as result of the implementation the budget now covers a four year time period with annual updates in accordance with the Municipal Act, 2001, as amended. The annual updates are targeted to be approved before the end of the year, thus the above policy generally applies only in the year in which a new multi-year budget is adopted. Given this change in budgetary practices, the current policy 8(6) can be repealed and the required elements can be incorporated into the Multi-Year Budget Policy 8(28). A revised Multi-Year Budget Policy 8(28) is targeted to be brought forward in October 2017.

The revised contents will include expenditures for which the City Treasurer is authorized to process accounts for payments pending the approval of the current budget in a given year. Some of these expenditures would include personnel costs for approved staff compliment, operating expenditures to administer programs at existing service levels and capital expenditures associated with lifecycle renewal projects.

8(7) Capital Budget Guidelines - REPEALED

ADOPTED SEPTEMBER 5, 1978; AMENDED MARCH 19, 1979; JUNE 4, 1984 [8(7)
AUG 1999];
REPEALED MARCH 22, 2016 (By-law No. A.-7368-94)

8(8) Capital Budget Program

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That, bearing in mind that both Current and Capital Budgets should be viewed in a coordinated manner, the following policies be established with regard to the Capital Budget Program, namely:

- (a) That the Civic Administration be instructed to continue processing the Capital Works Projects, as approved in the original package and award contracts, where supplementary financing is not required. It is understood that in instances where supplementary financing is required, the project shall not proceed until a satisfactory source of financing has been identified and approved by the City

Council.

- (b) That any new Capital Works Projects be postponed for a later year's Capital Budget, unless financing from an existing project, either by reduction or deletion, is identified as a source of financing for the new project.

ADOPTED JULY 3, 1979

Repeal Rationale:

The current policy:

- Allows Civic Administration to process capital works projects as approved in the capital budget and award contracts where no supplementary financing is required.
- Requires that capital works projects requiring supplementary financing not proceed unless a source of financing is approved by Municipal Council.
- Requires Civic Administration to postpone any new capital works projects unless a source of financing is identified.

The current policy can be repealed because:

- Current practice is that Municipal Council approves the detailed source of financing for each capital project in the capital budget.
- Contract awards are governed by the Procurement of Goods and Services Policy.
- Procedures for new capital projects and capital projects going over budget is included in the new Capital Budget and Financing Policy.

8(9) Introduction of New Capital Works Mid-Year

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That the following policies be established with respect to the introduction of new Capital Works during a year and the use of the City's Capital Receipts account:

- (a) no new Capital Works be introduced during a given year unless:
- (i) other project funding in the year's Capital Works Program is reduced or deleted or;
 - (ii) it is of an emergent nature. In such cases, the Finance Division will recommend a source of financing utilizing:
 - funded reserves such as the Major Repairs and Maintenance Reserve Fund;
 - Contingency Reserve;
 - available capital receipts or;
 - (iii) the project is identified as a priority for the succeeding year. In that case, if a new Council will be in office, an OMB Order will be obtained to commit the new Council to accommodate the financing in that year's budget;
- (b) funds as may be available in the Capital Receipts Account be utilized as follows:
- (i) to supplement a shortfall in financing for a capital works project contained in the current or any previous years' capital budget when the tender, as submitted, indicates the original estimate was deficient; and
 - (ii) to reduce any proposed long-term financing by way of debenture issue in the current year.

ADOPTED SEPTEMBER 2, 1980

Repeal Rationale:

The current policy:

- Outlines procedures for the introduction of new capital works during the year.
- Outlines the approved uses of available funds in the capital receipts account.

The current policy can be repealed because:

- Procedures for new capital projects introduced during the year and for the disposition of available funds in the capital receipts account are included in the new Capital Budget and Financing Policy.

8(10) Disaster Relief Policy – REPEALED

ADOPTED SEPTEMBER 2, 1980; REPEALED DECEMBER 19, 2016 (By-law No. CPOL.-5-30)

8(11) London Community Grants Policy

Service Area Lead: Neighbourhood, Children and Fire Services

Type of Change: No Change

London Community Grants Policy

9. DEFINITIONS

- 9.1. “Not-for-profit” refers to an organization incorporated without share capital, under Part III of the *Corporations Act* or under the *Not-for-Profit Corporations Act*.
- 9.2. “Grant Application” refers to the application associated with each granting program to be completed at the time of application.
- 9.3. “Grant Agreement” refers to the legal agreement that is signed after an application has been deemed successful under the City of London Community Grants program. The Grant Agreement defines the terms and conditions under which the City of London grant will be made and cannot be altered in any way.
- 9.4. “Strategic Areas of Focus” refer to the priorities of the City of London Strategic Plan. These guidelines will refer to the Strategic Areas of Focus as “strategic priorities.”
- 9.5. A “Procedural Error,” in reference to the Appeals Process (s. 4.5), refers to a mistake that has been made as a result of not following the proper process for the allocation of grants as outlined in the City of London Community Grants Policy and/or the Council endorsed evaluation criteria for the assessment of grant applications.

10. GENERAL POLICY AND PROCEDURE FOR GRANTS

10.1. Goal

Through community investment and planning, the City provides opportunities to build social and cultural infrastructure, and strengthen neighbourhoods as key strategic determinants for the health and well-being of our local communities. Through this type of upstream investment in our people, neighbourhoods and communities, it is possible to deter downstream costs and impacts such as reduced crime and violence, reduced reliance on the social safety net and a reduction in poverty. Upstream investment will also result in improved outcomes such as increased literacy rates and improved health and physical activity levels, improved quality of life, improved cultural programming, economic development and enhancement of London’s desirability as a community.

[Strategic Plan 2015-2019](#) “Strategic Areas of Focus” (herein referred to as “Strategic Priorities”):

- Strengthening our Community
- Building a Sustainable City
- Growing our Economy

10.2. Objectives

- (a) To ensure that an adequate administrative review of grant requests takes place;

- (b) To provide funding amounts to community groups or organizations that are eligible and approved under the grants criteria and according to their suitability in relation to the City's goal and other submitting organizations;
- (c) To ensure that those applying for assistance are evaluated on an equitable basis, utilizing the same evaluation criteria;
- (d) To ensure that a system of accountability is developed and maintained between the organization requesting funds and the City of London; and,
- (e) To review the City of London Grants Policy with each new Strategic Plan.

The City of London retains the right to share funding information received on the "grant application" form with other relevant funding bodies. The City of London also retains the right to obtain information from other funders regarding grant requests. This is for the purpose of providing additional information so that a co-ordinated approach to the funding of organizations in London might be achieved.

Interviews between the City of London staff and the Board of Directors and senior staff of organizations applying may, in some cases, be requested for the purposes of reviewing grant requests and assessing service or program needs.

11. CATEGORIES

Applications for Municipal Grants are considered under the following categories:

11.1. Community Grants

- These are up to four year agreements with the City of London for organizations in the community pursuing one or more of the strategic priorities in alignment with the City of London Strategic Plan.

11.2. Innovation

- These grants are provided to new, emerging organizations and/or initiatives that engage in dynamic community partnerships, innovative improvements to service delivery and system collaboration, and/or generate new ideas.

11.3. Capital

- These grants are provided for projects involving construction or purchase of physical assets, including but not limited to, land, building and equipment.

12. PROCEDURES

12.1. All agencies who meet the eligibility criteria for the grant applied for are given the opportunity of making an application for City of London grants, except those excluded by law. The City will annually contact agencies who have expressed interest, notifying them of the process. Availability of grants will be advertised.

12.2. The relevant Application is to be completed with all pertinent information and forwarded to the designated City Staff person within the time frame specified for that category. No applications will be accepted after the due date.

4.2.1 The application process includes a mandatory community information session for all interested organizations. It will be held at the beginning of the application process (see complete process as outlined in the attached flow chart for the London Community Grants program below).

4.2.2 Organizations may request an "application interview" meeting with Civic Administration (designated city staff) prior to the application deadline date to review their application and ask questions related to the application form itself and/or the granting process.

12.3. Grant applications will be assessed by the community review panel in accordance with the program's respective guidelines:

4.3.1 A community review panel of up to 11 individuals will be convened to make decisions regarding the allocation of municipal grants. The community review panel will be comprised of community members and city staff as outlined below:

- Community member (2-3)
- Expert in subject matter (specific to each funding stream) (2-3)
- Funder (1)
- Outcomes measurement expert (1)
- Financial expert (1)
- City Staff (2-3)

4.3.2 Members of the community review panel will assess applications and make decisions based on the strategic areas of focus for the City of London Strategic Plan and the criteria laid out in the evaluation criteria document.

4.3.3 Role of Staff

- Staff will provide relevant contextual and historical information to support informed decision making;
- City of London staff will sit on the community review and will participate in the decision making process.

4.3.4 Selection of Committee

- Civic Administration will seek qualified London residents to be part of the community review panel based on the make-up of the panel outlined above (relevant experience) and the requirements outlined under Confidentiality and Conflict of Interest below;
- Priority will be given to community members from diverse backgrounds, and staff will aim to have a cross representation of the community on the panel.

4.3.5 Confidentiality and Conflict of Interest

- Any community member directly or indirectly connected to organizations submitting an application to receive funding from the City of London will not be a member of the community review panel;
- Community review panel members will be required to sign a confidentiality and conflict of interest agreement prior to participation in a meeting and/or allocation of funding decisions;
- Members of the community review panel will remain anonymous until all funding decisions have been made. At this time, the committee membership will be released to the public;
- Members of the panel will be strictly required to adhere to the confidentiality and conflict of interest policies in order to uphold the values of integrity and fairness throughout the granting process. Adherence includes, but is not limited to the following:
 - Maintaining the confidentiality of information received, including the applicant's information, financials, etc.
 - Disclosing any potential or perceived conflict of interest at the time of their application to the committee, as well as throughout the duration of the funding deliberations
 - Keeping their involvement with the committee confidential until the funding decisions have been publicly released.

12.4. Applicants will be notified of the funding decision in a timely manner, dependent on the grant to which they have applied.

12.5. Appeal Process:

12.5.1. All decisions related to allocation, suspension, repayment and/or termination of funding in the London Community Grants Program will be communicated in writing and are open to appeal by the applicant/recipient.

12.5.2. Applicants to the London Community Grants Program may only appeal a procedural error or present new information that, for good reason, could not be submitted at the time of application.

- 12.5.3. Organizations may be notified that their appeal will not proceed if there has been no procedural error and/or no new information is available.
 - 12.5.3.1. The appeal must be received in writing no sooner than 48 hours after the funding decision is released and no later than 10 business days after having been notified of the decision.
 - 12.5.3.2. The appeal must be signed by the Board Chair/Treasurer of the appellant organization.
 - 12.5.3.3. The Manager of Community Development and Funding will review all appeals and determine which appeals will be referred to the City's Managing Director/Director.
 - 12.5.3.4. Managing Directors/Directors will review applications that relate to their priority area as follows:
 - 12.5.3.4.1. Strengthening our Community: Managing Director, Neighbourhood, Children & Fire Services
 - 12.5.3.4.2. Building a Sustainable City: Managing Director, Planning
 - 12.5.3.4.3. Growing our Economy: Director, Community and Economic Development
 - 12.5.3.5. The review will include the initial funding decision, funding submissions, contribution agreements/letters of agreement, procedural guidelines, letters, emails, payment histories, community need as well as the capacity of the organization.
- 12.5.4. Following the 10th business day after funding decisions have been released, a meeting may be requested by the Manager of Community Development and Funding if additional information is required to determine the viability of the appellant organization's appeal.
 - 12.5.4.1. After this meeting, viable appeals will be referred to the corresponding Managing Director/Director under which the appeal has been filed.
- 12.5.5. Organizations will be advised of the result of the appeal in writing within 30 business days of having received the appeal.
- 12.5.6. An appeal does not delay or suspend the city's disbursement of allocated funds to approved organizations.
- 12.5.7. Decisions of all appeals will be final.

13. POLICY

13.1. The Application:

- 13.1.1. Each applicant is required to complete (where applicable) an appropriate "Grant Application Form" within the specified time frame. Late or incomplete applications will not be accepted.
- 13.1.2. Grant Applications must be accompanied by financial statements for the previous year (preferably the audited statements), budgets or forecasts as well as evidence of adequate effort to secure financial support from the public or other levels of government, if applicable.
 - 13.1.2.1. The City has the right to request additional financial information to determine the viability of an organization.
- 13.1.3. All applicants receiving funding from the Municipality in order to provide a service to the citizens shall produce on request, adequate information which may be required. This is to ensure that the service being provided is in the best interest of the people served and that the City funds are being used in an effective and efficient manner.
- 13.1.4. In most cases, only one request per organization is to be considered in a fiscal year. All programs, projects and undertakings should be consolidated in the one request.
 - 13.1.4.1. An additional application may be made in the same fiscal year to the Capital and/or Innovation grants.

13.1.5. All grant applications must meet all of the required criteria in order to be considered for a City grant. All grants will be assessed in terms of their alignment with the Strategic Plan; need for the project; cost/effectiveness; financial viability; contribution to the quality of life in the community; community response and apparent quality.

13.2. The Organization

13.2.1. Organizations must be located in London and intending to use grant funds for services to the London community.

13.2.2. The organization must demonstrate strong managerial responsibility, capability, program planning and organization.

13.2.3. Only community groups and/or organizations are eligible to be considered for funding.

13.2.4. Organizations applying should have an active Board of Directors that is independent of senior staff of the organization.

13.2.5. The organization applying for a City of London grant shall be incorporated as a not-for-profit corporation. Proof of incorporation must be submitted with the application, if not already on file with the City. Notwithstanding that proof of incorporation may be on file, the City reserves the right to require proof that such incorporation has not been revoked.

13.2.5.1. An organization may submit an application to the Community Grants Program or Innovation Grants if not yet incorporated, but must be officially incorporated before any funding decision is made. The City of London cannot provide funding to an organization that is not incorporated.

13.2.6. All organizations applying for capital grants must be incorporated.

13.2.7. In general, organizations from which the City of London purchases services or with which it has contracts, will not be eligible. Priority will be given to organizations to which the City has not already contributed through other means.

13.3. The Grant

13.3.1. The length of the grant will be defined in the signed grant agreement.

13.3.2. A City of London grant should not be considered as the sole source of funding for the organization. City of London grants are intended to be supplementary to other sources of funding. Organizations will be expected to leverage opportunities for funding from other funders and to provide information about other sources of funding, both received and applied to, to the City of London.

13.3.3. A grant made to an organization in any year is not to be regarded as a commitment by the City to continue the grant in future years.

13.3.4. The City of London, through its grants process will not contribute to outstanding deficits.

13.3.5. In making grants, the City may impose such conditions as it deems fit.

13.4. Financial:

13.4.1. The organization must demonstrate strong financial responsibility and capability in carrying out its service to this community.

13.4.2. The organization must show that it has thoroughly explored all other available sources of funding.

13.4.3. The organization must demonstrate fund-raising capabilities and illustrate a future plan for the project.

13.4.4. The organization must indicate a clear financial plan and demonstrate efficient use of City funds in the project.

13.4.5. The organization must indicate other City contributions that are made to the organization (purchase of service, tax exemptions, etc.).

14. LONDON COMMUNITY GRANTS PROGRAM

14.1. Purpose:

The multi-year granting streams will provide funding to programs and initiatives that advance the strategic areas of focus for the City of London Strategic Plan. Applications for the multi-year streams will be assessed on their ability to achieve outcomes that will support the Strategic Plan.

14.2. Principles of Funding:

The following are overriding principles of funding and must be addressed in each application:

- the project/program responds to a community need and aligns with at least one of the Strategic Areas of Focus from the City of London Strategic Plan;
- support for innovation and collaboration among community organizations, funders and the City;
- encouragement of diversity, equity, accessibility and environmental friendliness;
- recognition of community support for the proposed activity;
- demonstration of community outreach, neighbourhood accessibility and value to the community;
- accountability of outcomes and benefits related to the proposed activity;
- demonstrated financial viability, no deficits or loans will be considered for assistance;
- commitment to multi-year funding;
- increased accountability and commitment;
- simple, clear, fair and transparent process; and,
- strong/responsible financial management and stewardship.

The Corporation of the City of London will ensure fairness in allocation based upon the merits and type of a proposed project/program and will encourage organizations to achieve self-sufficiency.

14.3. Methods of Funding:

Community Grants align with the strategic priorities of the City of London Strategic Plan. Applications for Community Grants will be considered for their ability to advance the following strategic priorities:

- Strengthening our Community
- Building a Sustainable City
- Growing our Economy

14.4. Eligibility Criteria:

The amount of funding allocated to the municipal granting program will be confirmed each year as part of the annual budget process.

Eligibility Criteria is based on the purpose and principles as reflected above and will consider the following criteria:

- applicants must demonstrate the need for the specific project/program
- applicants will demonstrate their ability to leverage funding for their program from other funders;
- applicants are not-for-profit community groups and organizations - individuals are not eligible;
- applicants must demonstrate how their proposal complies with the purpose and principles as reflected above;
- applicants may only submit one application to the multi-year funding streams, and may indicate more than one Strategic Area of Focus in the application;

- applicants must be located within the City of London;
- applicants will support a community/neighbourhood based activity;
- each proposal must specifically identify the defined impacts and outcomes;
- organizations must be governed by a community based volunteer board of directors;
- applicants must provide a letter of confirmation from the board of directors showing board approval of the proposal;
- applicants must provide the latest financial statement, audited or approved by the board of directors; and
- applicants must provide an organizational budget and a proposed project budget.

14.5. Evaluation Criteria:

Applications for the Community Grants Program will be assessed by a Community Review Panel for each round of applications. Grants will be awarded in accordance with this policy and will be considered in relation to the evaluation criteria for the Community Grants Program. These criteria will be made public once applications for this program have been opened.

14.6. Progress Reports:

Organizations must adhere to the reporting timelines laid out in the signed Grant Agreement. Organizations will be required to submit their reports by the specified time on the Agreement or the City will reserve the right to withhold further payments and/or request repayment of previous advances related to the funded project.

15. INNOVATION GRANTS

15.1. Purpose:

Innovation grants will be provided to projects or organizations that can demonstrate:

- Proven or promising early stage innovations that need additional support to create the capacity and conditions to be effectively sustained
- Creative new approaches to social innovation that engage multiple stakeholders in creative collaboration to improve system delivery, coordination, and/or generate new ideas.

15.2. The Project:

- 15.2.1. Organizations seeking a grant from the City must demonstrate a need for the proposed project and must indicate how the particular organization is best suited to meet this need.
- 15.2.2. Organizations must present an idea that is innovative and meet at least one of the purposes of the fund.
- 15.2.3. Organizations requesting grants will not be eligible if, in the opinion of the City of London, the project for which funds are requested is superfluous to the requirements of the Community.
- 15.2.4. Projects for which grant funds are requested should be available to a broad cross-section of the London Community.
- 15.2.5. Priority will be given to projects that make a unique contribution to or are of special significance to the City.
- 15.2.6. All projects must conform to all relevant legal standards and requirements and should be physically accessible to all persons.
- 15.2.7. Preference will be given to organizations that are willing to create dynamic partnerships and share learned experiences with the community.

16. CAPITAL GRANTS

16.1. Purpose:

Capital Grants will be considered for the following purposes:

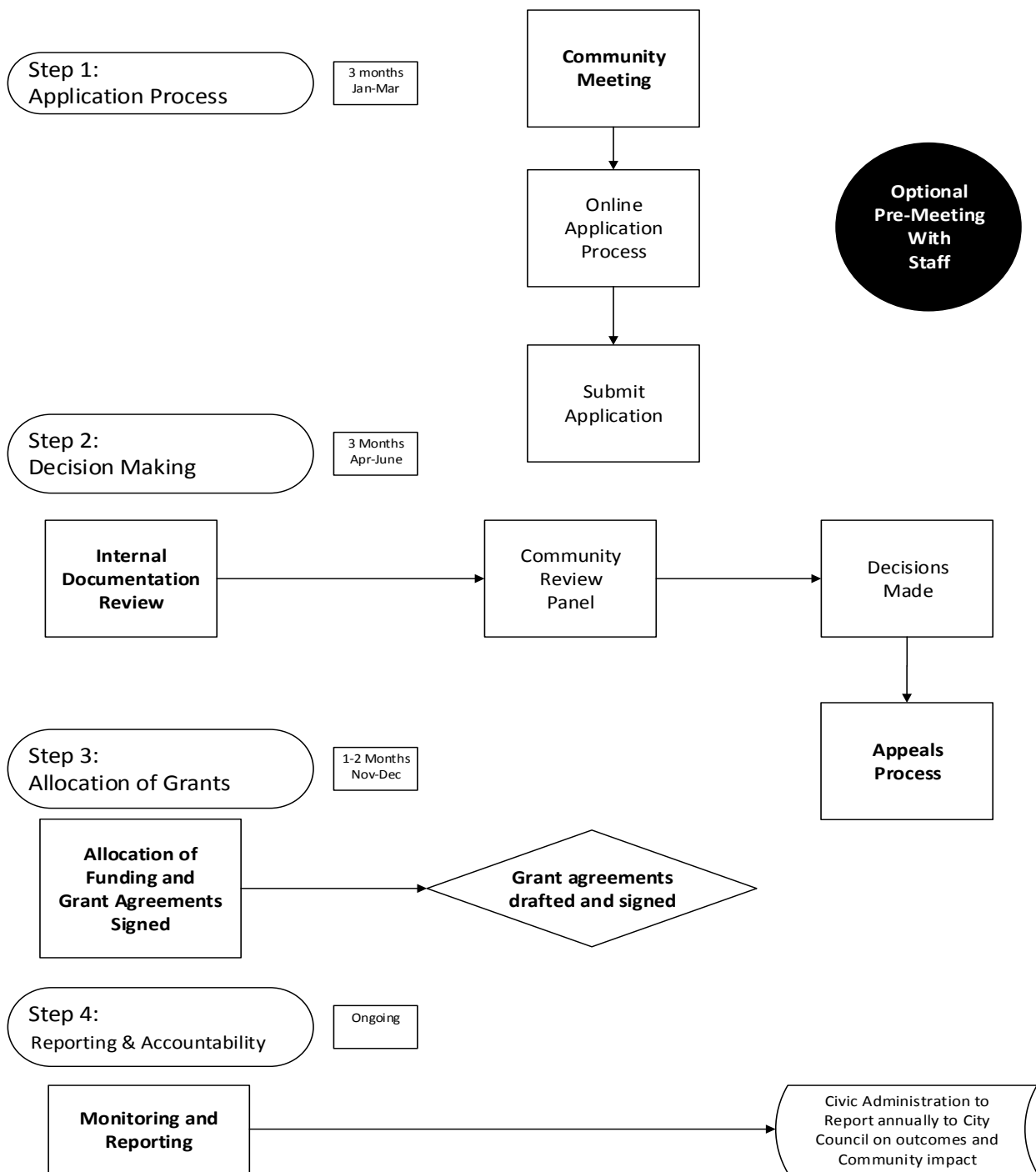
- Purchase of Land and Buildings: Grants are made in this category only when the purchase is required for the immediate capital project.

- Construction Costs: Grants in this category will be for costs associated with new facilities or renovation costs associated with the provision of additional program/service space.

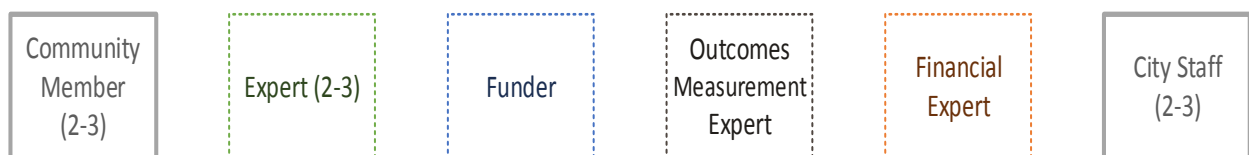
16.2. The Project:

- 16.2.1. Organizations seeking a grant from the City must demonstrate a need for the proposed project and must indicate how the particular organization is best suited to meet this need.
- 16.2.2. The organizations requesting grants will not be eligible if, in the opinion of the City of London, the project for which funds are requested is unnecessary for the requirements of the community.
- 16.2.3. Projects for which grant funds are requested should be available to a broad cross-section of the London community.
- 16.2.4. Priority will be given to projects that make a unique contribution to or are of special significance to the City.
- 16.2.5. All projects must conform to all relevant legal standards and requirements and should be physically accessible to all persons.
- 16.2.6. All projects must be either tendered or open to competitive bidding by two or more parties.
- 16.2.7. Rehabilitation and replacement of existing facilities will be preferred as opposed to projects involving the construction of new facilities.
- 16.2.8. Preference will be given to organizations that demonstrate a willingness to co-operate in the sharing of their facilities with other organizations.

City of London Community Grants Program “Granting Process”



City of London Community Grants Program: Structure of Community Review Panel



8(12) Investment Policy

Service Area Lead: Finance & Corporate Services

Type of Change: Technical Amendment

1.0 POLICY STATEMENT AND PURPOSE

The Corporation of the City of London (the City) shall invest public funds in a manner that maximizes investment return and minimizes investment risk while meeting the daily cash requirements of the City and conforming to legislation governing the investment of public funds.

The purpose of this investment policy is to ensure integrity of the investment management process. The objective of this investment policy is to maximize investment income at minimal risk to capital. Accordingly, emphasis on investments is placed on security first, liquidity second and overall yields third.

2.0 SCOPE

This investment policy shall govern the investment activities of the City's General, Capital and Reserve Funds as well as Trust Funds. This policy applies to all investments made by the City on its own behalf and on behalf of its agencies, boards and commissions and any new funds created by the City.

3.0 STANDARD OF CARE

Prudence

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

Delegation of Authority and Authorization

The City Treasurer shall have overall responsibility for the prudent investment of the City's investment portfolio. The City Treasurer shall have the authority to implement the investment program and establish procedures consistent with this policy. Such procedures shall include the explicit delegation of the authority needed to complete investment transactions however the City Treasurer shall remain responsible for ensuring that the investments are compliant with regulations and this policy. No person may engage in an investment transaction except as provided under the terms of this policy.

The City Treasurer shall be authorized to enter into arrangements with banks, investment dealers and brokers, and other financial institutions for the purchase, sale, redemption, issuance, transfer and safekeeping of securities in a manner that conforms to the *Municipal Act, 2001* and the City's policy manual.

Transfer of funds for investment transactions shall be authorized by two of the individuals listed below, one of whom must be City Treasurer or Deputy City Treasurer.

1. City Treasurer
2. Deputy City Treasurer
3. Director of Financial Planning & Policy
4. Director of Financial Services
5. Manager of Financial Planning & Policy
6. Division Manager – Taxation & Revenue

4.0 OBJECTIVES

The primary objectives of this investment policy, in priority order, are as follows:

1. Adherence to statutory requirements;

2. Preservation of capital;
3. Maintenance of liquidity; and
4. Competitive rate of return.

4.0 OBJECTIVES - continued

The investment portfolio is comprised of:

- Operating and Capital cash flow balances;
- Reserves;
- Reserve funds; and
- Trust Funds.

1. Adherence to Statutory Requirements

- a. All investment activities shall be governed by the Ontario Municipal Act, 2001 as amended. Investments, unless further limited by Council, shall be those eligible under Ontario Regulation 438/97 or as authorized by subsequent provincial regulations.

2. Preservation of Capital (Minimization of Credit Risk)

- a. Meeting this objective requires the adoption of a defensive policy to minimize the risk of incurring a capital loss and of preserving the value of the invested principal. As such, this risk shall be mitigated by investing in properly rated financial instruments in accordance with applicable legislation, by limiting the types of investments to a maximum percentage of the total portfolio and being mindful of the amount invested within individual institutions.

3. Maintenance of Liquidity

- a. The investment portfolio shall remain sufficiently liquid to meet daily operating cash flow requirements and limit temporary borrowing. The portfolio shall be structured to maintain a proportionate ratio of short, medium and long- term maturities to meet the funding requirements of the City. The term liquidity implies a high degree of marketability and a high level of price stability. Important liquidity considerations are a reliable forecast of the timing of the requirement of funds, a contingency to cover the possibility of unplanned requirement of funds and an expectation of reliable secondary marketability prior to maturity.

4. Competitive Rate of Return (Overall Yield)

Investment yields shall be sought within the boundaries set by the three foregoing objectives and then consideration shall be given to the following guidance;

- Higher yields are best obtained by taking advantage of the interest rate curve of the capital market, which normally yields higher rates of return for longer term investments;
- Yields will also fluctuate by institution as per individual credit ratings (greater risk confirmed by a lower credit rating) and by the type of capital instrument. For example, an instrument of a small trust company would in many cases have a slightly higher yield than a major bank;
- A lower credit rating generally makes an investment more difficult to sell on the secondary market and therefore less liquid; and
- Capital instruments that are non-callable will have a lower yield than instruments which are callable, but the call feature does not necessarily compromise marketability.

5.0 INVESTMENT STRATEGY

Diversification

To minimize credit risk and to maintain liquidity of the investment portfolio, investment diversification shall be guided by the following:

1. Limiting investments to avoid over-concentration in securities from a specific issuer or sector (excluding Government of Canada securities);

2. Limiting investment in securities to those that have higher credit ratings;
3. Investing in securities with varying maturities; and
4. Investing in securities which have an active secondary market.

5. INVESTMENT STRATEGY - continued

Diversification - continued

Investment Type Limitations

Cash held in the bank (excluding trust funds), i.e. one day maturity, shall be no less than what is deemed necessary to meet daily operating and capital requirements of the City. The current guideline is approximately \$50 million in general funds and \$150 million in reserve funds. This guideline shall be evaluated on an annual basis and this policy shall be updated as necessary to reflect any changes.

The total investment in securities issued by governments (federal, provincial or municipal) and Schedule I banks shall be no less than 75% of the total investment portfolio (excluding cash held in the bank and trust funds).

The remaining portfolio may be invested in any other securities which are deemed eligible under O.Reg 438/97 however no more than 10% of the total investment portfolio (excluding cash held in the bank and trust funds) shall be invested in eligible asset-backed securities and eligible commercial paper. Also, no more than 5% of the total investment portfolio (excluding cash held in the bank and trust funds) shall be invested in eligible pooled equity funds (i.e. One Investment Program Equity Portfolio).

These portfolio percentage limitations apply at the time an investment is made and exclude trust fund investments, which are subject to trust fund investment requirements. Investments held in a professionally managed portfolio are also excluded as diversification is subject to the judgement of the investment manager.

Investment Term Limitations

For the purpose of this policy, a short-term investment is defined as maturing in less than one year, medium-term as maturing between one and five years and long-term as maturing in greater than five years. In general, professionally managed portfolios are deemed to be long-term investments, as it is likely that the intention of Administration is to invest funds that are not required for the next five years. For the purposes of this section, professionally managed portfolios shall be considered long-term investments, unless it is specifically known otherwise. The total investment portfolio in calculating term limitations shall exclude trust funds. The term limitations for the portfolio are as follows:

- Short-term – minimum 50% of total investment portfolio;
- Medium-term – maximum 25% of total investment portfolio; and
- Long-term - maximum 25% of total investment portfolio.

The portfolio percentage limitations shall apply at the time the investment is made. At specific times the portfolio limitations may not be compliant to the policy for a short time for various reasons, for example the timing of maturities. Prior to any changes to the portfolio based on term limitations, the City Treasurer may, at their discretion, retain the investment(s), that contravenes the portfolio limitations provided that such action is not contrary to the Municipal Act, 2001.

Type and term limitations shall be reviewed annually by the City Treasurer and this policy shall be amended as necessary to minimize the City's exposure to changes in the financial marketplace after giving consideration to the available financial information.

Trust fund portfolio limitations are subject to the terms and conditions of the agreement to which the fund applies. Absent specific wording, compliance with the stated portfolio limitations is required, and should be considered separately from City of London funds.

Buy and Hold

To achieve the objectives noted in section four, internally managed funds shall, for the most part, follow the buy and hold strategy. As noted above, higher yields are best

obtained by taking advantage of the interest rate curve of the capital market which normally yields higher rates of return for longer term investments. By purchasing securities at varying maturity dates and holding the investments to term the interest rate risk is minimized, liquidity is maintained and capital is preserved. To be successful with the buy and hold strategy, matching cash requirements to investment terms is a key element and requires a solid cash flow forecast.

5.0 INVESTMENT STRATEGY - continued

Buy and Hold - continued

Some municipalities actively trade investments rather than holding to term. This 'active' investment strategy can produce a modest improvement in yield, but to be successful a large amount of excess cash and sophisticated investment expertise is required. Professionally managed funds charge a fee (usually basis points deducted from the yield) but it is anticipated the performance of the fund will exceed the cost of administration. Nevertheless, performance of professionally managed funds shall be regularly compared to industry benchmarks and to the result that might be achieved using the internally managed approach.

Performance Standards

The investment portfolio shall be managed in accordance with parameters specified within this policy. The portfolio should obtain a market average rate of return throughout budgetary and economic cycles proportionate with investment risk constraints and the cash flow needs of the City.

The performances of investments shall be measured using multiple benchmarks and performance indicators. The baseline yield for investments is the interest rate earned by the City on cash held in its bank account. Then, investment yields can be compared to Government of Canada Treasury Bills and Benchmark Bond Yields. Furthermore, prime interest rates and other applicable market rates, such as Banker's Acceptance can be used to provide useful benchmarks with consideration to limitations attributable to the Municipal Act, 2001.

Internal Borrowing

In developing the cash requirements for the year, sufficient cash shall be available to fund capital expenditures. The main cash elements of the operating budget are stable and predictable, e.g. tax revenue and operating expenditures which is established in the budget process. The primary variable in forecasting cash demands is capital spending. Capital spending is supported (temporarily financed) by the General fund prior to securing long-term financing (primarily long-term debentures).

If the General fund does not have sufficient cash to support capital expenditures and operating expenditures during the year, the best option is to borrow from the Reserve Funds on a short-term basis, rather than obtaining external financing. In order for this to occur, the Reserve Funds must have sufficient cash available (i.e. not locked into long-term investments) to support the General Fund through this period. A fair rate of interest shall be applied based on the interest rate paid on funds in the City's consolidated bank account. For the most part the interest charged is going 'from one City pocket to another', but given that some reserve funds are non-rate funded, there is a requirement to pay a fair rate to the reserve funds for 'investing' in the General fund.

Trust Funds

Trust funds by nature must be maintained in a separate account and invested separately. The investment strategy will be dictated by the terms of the trust agreement. In the absence of specific direction, the strategy shall be in compliance with this policy.

Given the variability of capital spending, interest rates, and non-tax revenues, the investment strategy shall be reviewed, at a minimum, on an annual basis. Any changes in the investment strategy shall be reported to Council in the annual investment report and the investment policy shall be amended for the change in strategy.

6.0 REPORTING

The City Treasurer shall provide an annual investment report to Council which includes, at a minimum, the requirements set forth in O. Reg. 438/97. Under the current regulations the investment report shall contain the following:

1. a statement about the performance or the portfolio of investments of the municipality during the period covered by the report;
2. a description of the estimated proportion of the total investments of a municipality that are invested in its own long-term and short-term securities to the total investment of the municipality and a description of the change, if any, in that estimated proportion since the previous year's report;
3. a statement by the treasurer as to whether or not, in **their** ~~his or her~~ opinion, all investments are consistent with the investment policies and goals adopted by the municipality;
4. a record of the date of each transaction in or disposal of its own securities, including a statement of the purchase and sale price of each security;
5. such other information that the council may require or that in the opinion of the treasurer, should be included;
6. a statement by the treasurer as to whether any of the investments fall below the standard required for that investment during the period covered by the report; and
7. the details of the proposed use of funds realized in the disposition of an investment for which the City sold as a result of a decline in rating below the standard required by O.Reg. 438/97.

In addition to the annual report, the City Treasurer shall report to Council any investment that is made that is not, in his opinion, consistent with investment policy adopted by the City within thirty days after becoming aware of it.

GLOSSARY OF TERMS

Asset Backed Securities: fixed income securities (other than a government security) issued by a Special Purpose Entity, substantially all of the assets of which consist of Qualifying Assets.

Basis Point (BPS): a unit that is equal to 1/100th of 1%, and is used to denote the change in a financial instrument. The basis point is commonly used for calculating changes in interest rates, equity indexes and the yield of a fixed-income security.

Credit Risk: is the risk to an investor that an issuer will default in the payment of interest and/or principal on a security.

Diversification: a process of investing assets among a range of security types by sector, maturity, and quality rating.

Interest Rate Risk: the risk associated with declines or rises in interest rates that cause an investment in a fixed income security to increase or decrease in value

Liquidity: a measure of an asset's convertibility to cash.

Market Risk: the risk that the value of a security will rise or decline as a result of changes in market conditions.

Market Value: current market price of a security.

Maturity: the date on which payment of a financial obligation is due. The final stated maturity is the date on which the issuer must retire a bond and pay the face value to the bondholder.

One Investment Program: a professionally managed group of investment funds composed of pooled investments that meet the eligibility criteria defined by O.Reg 438/97.

The program consists of Money Market Funds, Bond Funds and Equity Funds. The ONE Fund is operated by LAS (Local Authority Services Ltd., a subsidiary of the Association of Municipalities of Ontario) and the CHUMS Financing Corporation (a subsidiary of the Municipal Finance Officers' Association of Ontario).

GLOSSARY OF TERMS - continued

Qualifying Assets: financial assets, either fixed or revolving, that, by their terms converts into cash, within a finite time period, plus any rights or other assets designed to assure the servicing or timely distribution of proceeds to security holders.

Schedule I Banks: domestic banks that are authorized under the *Bank Act* to accept deposits, which may be eligible for deposit insurance provided by the Canadian Deposit Insurance Corporation.

Schedule II Banks: are foreign bank subsidiaries authorized under the *Bank Act* to accept deposits, which may be eligible for deposit insurance provided by the Canada Deposit and Insurance Corporation. Foreign bank subsidiaries are controlled by eligible foreign institutions.

Special Purpose Entity: a trust, corporation, partnership or other entity organized for the sole purpose of issuing securities that entitle the holders to receive payments that depend primarily on the cash flow from Qualifying Assets, but does not include a registered investment company.

ADOPTED MAY 5, 1986, JULY 25, 2005, JULY 26, 2010;
REPEALED AND REPLACED OCTOBER 1, 2013 (By-law No. A.-7020-299)
REPEALED AND REPLACED MAY 31, 2016 (By-law No. A.-7407-158)

Technical Amendment Rationale:

The policy has been amended to reflect gender neutral pronouns.

8(13) Financial Relationship with Library Board

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That the policies set out in [Appendix 8\(13A\)](#), which articulate a financial relationship between the City Council and the London Public Library Board using as a basis the provisions of the *Public Libraries Act*, R.S.O. 1990, Chapter P.44 be established; it being pointed out that this policy will be reviewed with the Library Board after they have been in operation for one year.

ADOPTED JUNE 16, 1986

Repeal Rationale:

(13A) Appendix to Financial Relationship with Library Board Policy

- (1) The Library Board will continue to maintain its own accounting records.

Repeal Rationale – The London Public Library operates under the *Public Libraries Act*, R.S.O. 1990 (the Act), with representatives of Council members on their Board. The Act stipulates that the Library Board is responsible for public library operations and services – including finances. The Board have established and maintained policies and procedures for the Library's operations.

- (2) (a) The Library's Sick Leave Reserve is to be converted to a Sick Leave Reserve Fund to be administered by the City. All sick leave payouts are to be funded from the Fund. Contributions are to be made in the amount required to fund the drawdowns and maintain a balance consistent with City policy. The contribution to this Reserve Fund is to be included in the Library's Current Budget.

Repeal Rationale – A By-law is currently in place that governs the Sick Leave Reserve Fund. A.-4950-435 was passed on October 6, 2006 for 8(13a 5 c).

- (b) The Library's Equipment Reserve is to be converted to a Vehicle Replacement Reserve Fund. Contributions to this Reserve Fund are to be included in the Current Budget submission. Drawdowns are to be included in the Capital Budget submission.

Repeal Rationale – The Library's Equipment Reserve was converted to a Vehicle & Equipment Replacement Reserve Fund. Since 2016, this reserve fund is no longer in use, as the Library became part of the City's internal fleet process.

- (3) The City of London will continue to process the payroll for the Library Board, so long as this arrangement remains cost effective.

Repeal Rationale – As of January 2011, the Library Board in consultation with Civic Administration identified that the London Public Library should process their own payroll as it was more cost effective.

- (4) The Library Administration will maintain an ongoing liaison with, and provide all necessary information to the City Administration regarding proposed major new or revised contractual commitments, such as lease renewals and personnel agreements, that are likely to financially impact on the current budget. Likewise, information regarding any activities that may result in additional future capital budget needs will be supplied. This liaison shall be satisfied by the delivery of the Board agenda in advance of Board meetings as per Board by-law which agenda is represented to contain all the information required.

Repeal Rationale – The new Agencies, Boards and Commissions Budget Policy details the multi-year budget and reporting process.

Current Budget

- (5) The Library will continue to prepare its budget in the Plan and Budget Document format as per the timetable required by the City of London. Commencing in 1986 this would include Directional and Strategic Plans for the Library. Supplementary information contained in the document will be the same as at present, with the exception that:
 - (a) All new equipment items proposed for purchase from the equipment account are to be identified.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (b) Five-year projected drawdowns from the Vehicle Reserve Fund are to be submitted as an appendix to the Current Budget submission document.

Repeal Rationale – The Library's Equipment Reserve was converted to a Vehicle & Equipment Replacement Reserve Fund. Since 2016, this reserve fund is no longer in use, as the Library became part of the City's internal fleet process.

- (c) Five-year projections of drawdowns from the Sick Leave Reserve Fund and sick leave liability are to be included as an appendix.

Repeal Rationale – A By-law is currently in place that governs the Sick Leave Reserve Fund. A.-4950-435 was passed on October 6, 2006 for 8(13a 5 c). Also, the new Agencies, Boards and Commissions Budget Policy details the multi-year budget and reporting process.

- (d) Costs will be identified by major activity as well as by expenditure type and indicators for those activities included where possible; these activities may include: Circulation, Reference, Children's Services, Adult Programming, Museums and Administration.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

In addition, the Library Board, in the Annual Budget portion of the Plan and Budget document, particularly the Supplementary Information, will continue to identify the cost of new services and to include explanations of major increases for each expense type as compared to the previous year's budget and projected actual.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (6) Subsequent to approval by the Library Board, the Plan and Budget document is to be reviewed by the Library Administration with representatives of the Financial Planning and Policy Division to obtain an understanding of the content of the budget prior to review by the City Manager and submission to the Board of Control.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (7) Subsequent to approval of the Current Budget, in accordance with the City's appropriation policy, budget performance is to be reviewed and reported to the City Manager at the end of April, June, August, and October or as otherwise may be required by the City of London. The report would identify any upward or downward adjustment required to Personnel, Administrative Expenses, Purchased Services, Materials & Supplies, Other, Financial Expense and Equipment Expenditure Budgets and Revenue Budgets, Expenditure Budgets are not to be exceeded without approval from the City Manager or Council. Requests for additional funding, required at times other than the appropriation report periods, must be made in writing to the City Manager.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (8) The City Appropriation to the Library will continue to be paid monthly based on the cash requirement, other than the net Library payroll, of the Library.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

Capital Budget

- (9) Capital budget requests will continue to be submitted as per the timetable established by the City and in the prescribed format.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (10) The Capital Budget submission would continue to be reviewed by the City Manager with the assistance of the City Treasurer and the City Manager will continue to make recommendations regarding the budget submission to the Board of Control, particularly with respect to the level of contributions to the reserve funds and the timing of drawdowns.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (11) Subsequent to the approval of the Capital Budget, the Library will be required to submit an initiation report in the format prescribed by the City to the City Manager prior to proceeding with the initiation of any capital project.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (12) The Library would notify the City Administration whenever it was established that the actual costs of a capital project may exceed the approved budget.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (13) The request for reimbursement of expenditures would be submitted to the City Treasurer as in the past.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

- (13) The Library would report on a quarterly basis on the status of the capital projects in the

format required by the City. The City will provide periodic Reserve Fund status reports of capital projects displaying drawdowns to date and balance remaining.

Repeal Rationale – Staff is preparing an Agencies, Boards and Commissions Budget By-law that will address Multi-Year Budget submissions and reporting matters.

8(14) Grants to U.W.O. and Fanshawe College - REPEALED

ADOPTED FEBRUARY 2, 1987; AMENDED JUNE 28, 1988; REPEALED MARCH 22, 2016 (By-law No. A.-7368-94)

8(15) London Medical, Health Services and Advanced Technology Reserve Fund – REPEALED

ADOPTED JUNE 1, 1987; REPEALED MARCH 22, 2016 (By-law No. A.-7368-94)

8(16) Trust Funds

Service Area Lead: Finance & Corporate Services

Type of Change: Major Amendment

That the following policies be established with respect to trust funds, namely:

- (a) when accepting contributions from community groups and organizations for community projects and events, the practice of identifying such contributions as discretionary trust funds be discontinued; it being pointed out that the Municipality has no specific authority to establish this type of trust fund;
- (b) the Finance Division continue to be responsible for accounting, reporting and investment services for funds presently maintained by the Municipality on behalf of community groups and organizations for which there is no specific legislative authority or trust indenture, on the understanding that the City will be acting in the capacity of a custodian of the fund and not as a trustee;
- (c) approval of the Board of Control be obtained by the Finance Division on any new requests which it receives to accommodate community groups and/or individuals wishing to deposit money with the City for contribution towards an activity or event and requiring the City to issue tax deductible donation receipts; and that the Board of Control, in reviewing such requests, take into consideration the administrative costs of entering into such arrangements;
- (d) when reviewing new requests outlined in part (c) above, the Finance Division be required to determine and recommend to the Board of Control on whether or not:
 - (i) a custodial relationship is appropriate;
 - (ii) a new or existing reserve fund should be used to accumulate money received; or
 - (iii) contributions should be taken directly into revenues.

and that in so doing, the Finance Division be requested to use the following evaluation criteria:

- (i) the level of direct involvement with the organization, project or activity;
- (ii) a determination that the City is empowered on its own to make a grant to the organization involved under section 113 of the *Municipal Act*, R.S.O. 1990, Chapter M.45 and/or the Municipality is empowered to spend money on the undertaking or project in accordance with the provisions of the *Municipal Act*, R.S.O. 1990, Chapter M.45 or some other statute;
- (iii) a determination of whether or not the undertaking is of a recurring or non-recurring nature;
- (iv) a determination of the size of the project and/or lead time to the planned commencement of the project;

- (v) a determination of whether or not the project or undertaking is included in the Capital Works Budget or Current Budget with fundraising being identified as a source of financing; and
- (vi) a determination of whether or not fundraising activities by the community group, organization or individual will be of a short, non-recurring duration;
- (e) a trust fund policy as set out in [Appendix 8\(16A\)](#) be established and that the existing policies governing the administration of trust funds be replaced therewith; and
- (f) the City will accept donations from community groups, organizations and individuals subject to general direction and issue tax deductible receipts only when the organization to whom the donation is directed operates under authority of the municipality and/or the donation will be used as a source of financing for a City project or program. Finance Division determines whether the City is empowered to make a grant to the organization involved and/or the municipality is empowered to spend money on the undertaking or project under Provincial Legislation.

ADOPTED APRIL 2, 1990; AMENDED DECEMBER 20, 1999

Amendment Rationale:

Although this policy is entitled Trust Funds, the majority of the content deals with donations to the City of London. The specific Trust Fund Policy which is referenced in the title is actually included as an Appendix to this policy rather than in the policy framework itself. For simplicity and clarity, Staff is proposing that this policy be replaced to include only an updated Trust Fund Policy previously included as **8(16A) Appendix to Trust Fund Policy** and that the other guidelines pertaining to donations be separated and included in an updated new donations policy.

The Trust Fund Policy that was previously included as **8(16A) Appendix to Trust Fund Policy** has been updated to eliminate references to the Ontario Home Renewal Program trust which is no longer in existence as well as include a section for definitions.

An updated and more comprehensive donations policy that provides for the consistent treatment and guidance with respect to all donations that may be received by the municipality is included in the next section.

Policy Update:

Trust Fund Policy

Purpose:

To set out the guidelines under which the City will establish, hold, maintain and administer trust funds held by it.

Definitions

In this policy, the following terms shall have this meaning ascribed to them:

“**Auditor**” – means the City’s auditor appointed under section 296 of the *Municipal Act, 2001*;

“**City**” – means The Corporation of the City of London;

“**City Treasurer**” – means the City’s Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate;

“**Donation**” – A gift, bequest, financial contribution, or in-kind contributions of tangible property such as art, furniture, equipment, material of historical interest, which has been given voluntarily and without compensation or non-monetary consideration such as advertising, promotion or services;

“**Trust Fund**” – means a financial account which holds donations received by the City that have conditions and/or legal requirements for use agreed upon by the donor and the City.

“Trust Document” – means the written instrument to establish the terms and conditions of the Donation and includes without limitation a will or an agreement between the donor and the City.

Application

1. This policy applies to all Trust Funds held by the City.
2. The City Treasurer shall establish, hold, maintain and administer Trust Funds in accordance with:
 - a. all applicable statutes, regulations and any related policies of the City;
and
 - b. the Trust Document that governs the Trust Fund.
3. Legislated Trusts

Trust accounts established and maintained by the City for residents of the Dearness Home under the *Long-Term Care Homes Act, 2007*, S.O., c.8 shall be administered in accordance with that Act, any regulations made under it and any policy established by the City that may be required under the Act.

4. General

- d) The City Treasurer shall be responsible for establishing and administering all Trust Funds under this Policy.
- e) For all Donations except bequests, a Trust Document signed by the donor and the City shall be required prior to opening a new Trust Fund.
- f) This policy should be read in conjunction with the City's Donations Policy which is applicable to all donations received by the City of London.

5. Management and Reporting of Trust Funds

- g) All investment of Trust Funds shall be in accordance with the *Trustee Act, R.S.O. 1990, C. T.23*, the *Municipal Act, 2001*, any other applicable legislation and the City's Investment Policy.
- h) Interest on short term investments shall be credited to each Trust Fund not less than semi-annually, in arrears. The interest credited to said trust funds shall be equal to the amount earned by the City by the deposit or investment of said funds on an individual or pooled basis.
- i) Interest on long term investments shall be accounted for on a "cash" basis (i.e. credited to Trust Funds, in arrears, based on the timing of receipt of interest proceeds for each specific fund).
- j) The accounting policies for Trust Funds shall follow generally accepted accounting principles as set out in the CPA Canada Public Sector Accounting (PSA) Handbook and conform to the City's accounting policies prescribed from time to time by the City Treasurer with the exception of accounting for interest on long term investments as outlined in subsection (5)(c) above.
- k) In accordance with all applicable legislation, the City Treasurer shall have the financial records of all Trust Funds audited annually by the City's Auditor.
- l) The City Treasurer shall report to Municipal Council once each year, as at December 31 on the financial position and income and expenditures of trust funds administered during that period. The report format will be consistent with that required under the CPA Canada Public Sector Accounting (PSA) Handbook.

8(17) Donations Made for Non-Profit Organizations

Service Area Lead: Finance & Corporate Services

Type of Change: Major Amendment

That a policy be established whereby the City of London accept donations from organizations and individuals which are made on the condition that such donations be transferred to a local non-profit organization for purposes which are in the best interest of the Municipality; and that the Civic Administration be authorized to issue receipts for income tax purposes where such donations conform with the applicable Federal and Provincial legislation.

ADOPTED NOVEMBER 5, 1990

Amendment Rationale:

Canada Revenue Agency introduced amendments to the *Income Tax Act* beginning January 1, 2012 which sets out the regulatory framework for a municipality to issue income tax receipts. Under the *Income Tax Act, 1985*, the Corporation of the City of London is classified as a "qualified donee" for charitable donations, and as such, without a registered charity number is afforded the same privileges as a charitable organization. The responsibility for the management and administration of the preparation and issuance of donation tax receipts for all donations received

by the City rests with the Financial Services Division.

An updated and more comprehensive donations policy that provides for the consistent treatment and guidance with respect to all donations that may be received by the municipality is proposed in the policy update below. This updated policy will provide consistency for application of all donations received by the City and ensure compliance with Canada Revenue Agency regulations. Generally, the City is not allowed to issue donation receipts when it is simply acting as a conduit of those funds. Donations given to the City intended to flow through a specified recipient who does not have charitable status would not qualify for a receipts. The new policy includes a section to outline the considerations in the acceptance of the donation as well as a separate section to outline the process for issuing official income tax receipts.

Policy Update:

Donations Policy

Purpose:

The purpose of this policy is to set out in accordance with the Income Tax Act and the Canada Revenue Agency guidelines and standards for:

- acceptance of Donations;
- issuing Official Income Tax Receipts to donors for income tax purposes; and,
- collection, recording and disbursement of Donations.

Definitions

In this policy, the following terms shall have this meaning ascribed to them:

“**City**” – means The Corporation of the City of London;

“**City Treasurer**” - means the City’s Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate;

“**CRA**” – means the Canada Revenue Agency;

“**Donation**” – means a gift, bequest, financial contribution, or in-kind contributions of tangible property such as art, furniture, equipment, material of historical interest, which has been given voluntarily and without compensation or non-monetary consideration such as advertising, promotion or services;

“**Gifts in-Kind**”– means a gift of tangible property, other than cash, that are eligible donations;

“**Fair Market Value (or Valuation)**” – means the highest dollar value that a property would bring in an open and unrestricted market, between the willing buyer and the willing seller who are acting independently of each other. The fair market value of a property does not include taxes paid; taxes are costs incurred by the buyer;

“**Non-Qualifying Donations**” – means donations for which an Official Income Tax Receipt cannot be issued in accordance with CRA guidelines;

“**Official Income Tax Receipt**” – means a receipt issued by the City as a Qualified Donee under the *Income Tax Act*, for a Donation made to the City, which may be used by the donor to claim a tax credit on their income tax return.

“**Qualified Donee**” – An organization that under the *Income Tax Act* may issue Official Income Tax Receipts for Donations it receives from individuals and corporations and registered charities.

Application

1. General

- a. This policy applies to all Donations to the City to support projects, programs or services offered by the City. This policy does not apply to Donations of Land and Buildings.

2. Accepting Donations

- a. The City reserves the right in its sole discretion to accept or decline any Donation. The City Treasurer has the authority to refuse any Donation up to \$100,000 where it is determined that it is not in the City's best interest to accept the Donation. Donations exceeding \$100,000 will be presented to City Council. If a Donation is declined, the City Treasurer shall advise the donor in writing of the reason.
- b. Donations must be for purposes consistent with the City's mandate, programs, services and activities and must be deemed by the City to be in the public interest.
- c. Donations are only to be accepted if the City has, in its sole discretion, the capacity to meet the initial and ongoing costs and obligations associated with the Donation.
- d. The City shall not accept a Donation where any advantage will accrue to the donor or to any person not dealing at arm's length to the donor as a result of the Donation. The City may decline donations from any donor who in the opinion of Council, represents a reputational risk to the City through involvement in activities that are contrary to the values of the City. Examples include but are not limited to:
 - i. Proven or suspected criminal organizations; and
 - ii. Organizations that promote hatred against individuals or groups.
- e. The City may not accept Donations from individuals or organizations currently in litigation against the City.
- f. The City will accept Donations from community groups, organizations and individuals subject to general direction. Donations where the purpose is not specified are deemed to be undesignated and become contributions to general revenue of the City.
- g. The City will accept the involvement of charitable organizations and community groups in fundraising activities for projects related to the repair, enhancement or construction of City-owned facilities.
- h. Where the donor requests that conditions be placed on the use of the Donation, Legal Services must be consulted to ensure that the appropriate agreements are prepared prior to accepting the Donation.

3. Gifts In-Kind

- a. In-kind Donations to the City must be free and clear of all encumbrances, conditions and restrictions and shall provide that use of the property shall be entirely at the discretion of the City.
- b. Final acceptance of an in-kind Donation will require a transfer of title or ownership through a written agreement as to the future use and disposition except with respect to applicable legislation on preservation, copyright and/or resale. An agreement, satisfactory to the City Treasurer, signed by the Donor and the City shall be required prior to the acceptance of the in-kind Donation.
- c. In the event of a significant donation of land and/or buildings to the City, the Donation of Land and Buildings to the City Policy as amended from time to time shall apply.
- d. Written valuations of in-kind donations shall be submitted with an external appraisal by an independent arm's length qualified appraiser or other third party supporting documentation, satisfactory to the City Treasurer to substantiate fair market value.

4. Official Income Tax Receipts

- a. The City will issue an Official Income Tax Receipt for Donations for City programs or projects that qualify as Charitable Gifts in accordance with the Income Tax Act, regulations and CRA guidelines. The Treasurer shall be responsible for the issuance of all Official Income Tax Receipts in accordance with the following:
 - i. Official receipts for income tax purposes shall be authorized by the City Treasurer for eligible gifts and gifts-in-kind made to the City.
 - ii. For gifts in-kind, the fair market value of the Donation must be supported by an independent arm's length appraisal or other third party supporting documentation, satisfactory to the City Treasurer;
 - iii. Receipts shall be made in the name of the donor only;
 - iv. Receipts shall be issued for all donations having a value of \$20.00 or more, if requested by the donor.
- b. Non-Qualifying Donations, in accordance with the Income Tax Act, regulations and CRA guidelines include:
 - i. Intangibles such as services, time, skills and effort;
 - ii. Donations that are given to the City intended as a flow through to a specified recipient who does not have charitable organization status (a Qualified Donee);
 - iii. Donation of business marketing products such as supplies and merchandise;
 - iv. Sponsorship in the form of cash, goods or services toward an event, project program or corporate asset in return for commercial benefit.

5. Records

- a. The City shall maintain proper books and records supporting all Official Income Tax Receipts issued.
- b. Copies of Official Income Tax Receipts issued must be retained and filed in accordance with the City's records retention policy.

6. Accounting

- a. Where donations are received by the City, the funds will be recorded in the appropriate account by the City Treasurer.
- b. Donations directed for specific operations or for specific capital projects (such as to a community or recreational centre) shall be deposited to the donation revenue account of the appropriate program.
- c. Donations may be disbursed only for their intended purpose and in accordance with the terms, conditions, restrictions or any agreement governing the use of the Donation.

8(18) Industrial Oversizing Reserve Fund

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That a policy for the administration of the Industrial Oversizing Reserve Fund be established as set out in [Appendix 8\(18A\)](#).

ADOPTED DECEMBER 7, 1981

Repeal Rationale:

It is recommended that Policy 8-18, including Appendix 8(18A), be repealed.

The current Policy 8-18, Industrial Oversizing Reserve Fund, and the supporting Appendix 8(18A), Appendix to Policy for the Administration of the Industrial Oversizing Reserve Fund, were applicable until 2014 when the administration of costs associated with developing industrial land

was changed through revisions introduced in the 2014 Development Charge (DC) Study.

Prior to this change, the City subsidized the costs of developing industrial land by exempting these lands from the payment of development charges. Industrial land servicing costs that had a “regional benefit” were not eligible to be funded from DC reserve funds but rather funded from an “Industrial Oversizing Reserve Fund”.

The 2014 DC Study introduced a more transparent method of funding industrial growth costs such that the City simultaneously:

1. requires a contribution for development charges on all development of industrial lands into the DC reserve funds;
2. allows for the financing of growth related industrial servicing costs from the DC reserve funds according to growth shares identified in the DC background study.

The Industrial Oversizing Reserve Fund and its supporting by-law must remain in place for the time being because there are outstanding debt obligations on that fund that were incurred prior to the 2014 change in funding approach. The proposed revised Policy 8-18 will be stricken once the debt obligations are satisfied.

8(19) Current and Capital Budgets Binders - REPEALED

ADOPTED APRIL 8, 1992; REPEALED MARCH 22, 2016 (By-law No. A.-7368-94)

8(20) Impact of Appropriations to Capital Reserve Funds

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That a policy be established whereby the Civic Administration be required to report to the Municipal Council each time that an appropriation to a capital reserve fund is proposed to be made and that such reports identify the long-term impact of the proposed appropriation on the integrity of the reserve fund.

ADOPTED OCTOBER 16, 1995

Repeal Rationale:

The current policy:

- Establishes guidelines for Civic Administration to report to Municipal Council each time an appropriation to a capital reserve fund is proposed and that these reports identify the long-term impact of the proposed appropriation on the integrity of the reserve fund.

The current policy can be repealed because:

- Current practice is that Council approves the detailed source of financing for each capital project in the capital budget, including drawdowns (appropriations) from capital reserve funds. The budget also includes reserve fund continuity schedules that identify the long-term impact of each drawdown.

8(21) Royal Canadian Legion Branch Property Tax Relief Program Funding

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

An annual allocation shall be included in the City's Operating Budget to fund an annual "Royal Canadian Legion Branch Property Tax Relief Program", on the understanding that this funding policy shall be subject to annual review during budget deliberations and that should the Municipal Council decide in any one year to not include property tax exempt funding in the annual Operating Budget for this Program, then this Program shall be deemed to be collapsed for the following year.

ADOPTED DECEMBER 14, 1999; AMENDED DECEMBER 19, 2016 (By-law No. CPOL.-6-31)

8(22) Major Institutional Capital Grants

Service Area Lead: Finance & Corporate Services

Type of Change: Repeal

That the following policy guidelines be established for reviewing major institutional capital grants, and that the review give due consideration to each of the listed items but not necessarily be limited to this list, noting that this list is not intended to be conclusive but is subject to addition from time to time as individual applications warrant:

- impact of the proposal on the London economy generally
- impact on the construction industry
- impact on any other identified segment of the London population
- number of permanent jobs created
- relevance of the proposal to economic trends
- impact on City revenues such as taxation and building permit fees
- impact on City tax levy
- impact on specific City Departments, including changes to revenues and expenditures, both capital and operating (example - transit, environmental services)
- prior contributions to the organization/institution/program by the City of London
- contributions by other funding agencies, levels of government, foundations, corporations, and individuals
- opportunities to lever or stimulate financial participation by others
- comparison of the opportunity presented in relation to other major public sector grants requests accepted or declined by City Council in the past pursuant to this policy
- consideration of appropriate conditions with respect to timing of any payment, or other involvements between the City of London and the organization that might be appropriate
- due regard to the timing of the City's annual budget process
- a "report card" from the institution in 3 to 4 years after the grant is made

ADOPTED DECEMBER 14, 1999

Repeal Rationale:

The current policy:

- Provides guidelines for reviewing major institutional capital grants and factors that should be considered in the review.

The current policy can be repealed because:

- On December 8, 2015, Municipal Council approved amendments to existing Council Policy 8(11) - Grants and Capital Grants Policy. Major institutional grants could be considered under the City of London Community Grants Program and therefore subject to Policy 8(11).
- A request for a major institutional grant could also be made directly to Municipal Council (e.g. funding for Fanshawe College to occupy the former Kingsmills building), but such a request would be considered on a one-time basis and require a detailed business case.

8(23) Security Policy Regarding Letters of Credit

Service Area Lead: Finance & Corporate Services

Type of Change: Technical Amendment

That the following policy be established with respect to a revised security policy regarding the acceptance of letters of credit:

Effective immediately (on an interim basis until December 31, 2001):

1. The City continues to accept letters of credit (l/c) from Schedule I & II banks with

standard letter of credit wording.

2. For "Other Financial Institutions", the City accepts only l/c from trust companies or credit unions subject to the following:
 - (a) "cap" on total amount that the City will accept from any particular institution (eg 2% of equity according to most recent, current audited financial statement);
 - (b) "cap" on total amount that the City will accept from this group of organizations (ie. non-Schedule I&II banks) of \$1.5 million;
 - (c) existing l/c's on hand at time of initiation of this policy will be taken into account in computing the "group cap";
 - (d) issuing financial institution must have a corporate presence in the municipality (ie. head office or branch office located within the City of London); and
 - (e) notwithstanding the above "caps", administration may reject any l/c from a financial institution based on information it obtains that may suggest the financial organization is not in good standing with federal, provincial or municipal authorities (or similar reasons).
3. Policy expires January 1, 2002 coincident with the commencement of the new policy below.

Commencing in 2002:

1. The City continues to accept l/c from Sch.I & II banks who have a credit rating of R1 middle or higher.
2. For "Other Financial Institutions", the City accepts only l/c from trust companies or credit unions subject to the following:
 - a. where the institution can demonstrate a credit rating provided by a nationally recognized rating agency of R1 middle or higher (or equivalent), Letters of Credit with no aggregate limit, otherwise,
 - b. the greater of:
 - (i) where the institutions provided Letters of Credit security to the City during 2001, Letters of Credit, the aggregate of which do not exceed the highest total amount of security provided during the year 2001 (ie. the "grandfather provision"); OR
 - (ii) 3% of the Owner's Equity as reported on the most recent audited financial statement, but in any case, not to exceed a limit of \$1.5 million per institution, and subject in all cases to the following restrictions:
 - (1) the financial institution shall provide a copy of the most recent audited financial statements which financial statements must contain an "unreserved" opinion regarding the fairness of the financial statements presented and shall not contain any negative opinion or comment regarding the ability of the institution to conduct business on a going concern basis; and
 - (2) issuing financial institution must have a corporate presence in the municipality (ie. head office or branch office located within the City of London); and
 - (3) notwithstanding the above limitations on the amount of security the City will accept, administration may reject any l/c from a financial institution based on

information it obtains that may suggest the financial organization is not in good standing with federal, provincial or municipal authorities (or similar reasons); and

- (4) new credit unions or trust companies that otherwise meet all the requirements above may be permitted, subject to the prior approval of the City Treasurer, to submit development security on behalf of its clients; and
- (c) new credit unions or trust companies (ie. that did not have a previous history of providing l/c to the City of London prior to December 31, 2001) that otherwise meet the requirements of the policy as described above and whose equity exceed \$15 million may, subject to prior approval of the City Treasurer, be provided the opportunity to submit l/c. In granting the approval, the City Treasurer shall determine through whatever means **they** ~~he/she~~ deems appropriate, whether the subject institution represents an “acceptable credit risk”. That determination will include, as a minimum, a review of audited financial statements of the corporation, and confirmation that the institution’s deposits are insured by either the Canada Deposit Insurance Corporation or Deposit Insurance Corporation of Ontario (as applicable).

ADOPTED AUGUST 8, 2000; AMENDED JUNE 11, 2001

Technical Amendment Rationale:

The policy has been amended to reflect gender neutral pronouns.

8(24) Bid Funding for Sports Events - REPEALED

ADOPTED NOVEMBER 19, 2001; REPEALED DECEMBER 19, 2016 (By-law No. CPOL.-5-30)

8(25) Identification of Operating Surpluses – Boards and Commissions

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

That a policy be established requiring the City’s Boards and Commissions to identify operating surpluses from the year ending at the time that they submit their operating budgets to the City of London for the next year on the understanding that the use or disposition of any surpluses will be determined through collaboration between the City and the particular Board or Commission.

ADOPTED MAY 5, 2003

8(26) Acceleration of Capital Works Projects - REPEALED

ADOPTED JUNE 16, 2003; REPEALED MARCH 22, 2016 (By-law No. A.-7368-94)

8(27) Lease Financing Policy

Service Area Lead: Finance & Corporate Services

Type of Change: Technical Amendment

1. Policy Statement

This policy constitutes The City of London’s (the “City”) statement of policies and goals relating to the use of Lease Financing Agreements, in accordance with Ontario Regulation 653/05 made under the *Municipal Act, 2001*.

2. Definitions

“Lease Financing Agreement” - means a financial agreement for the purposes of obtaining long term financing of a capital undertaking of the municipality.

“Material Impact” - means the costs or risks that significantly affect, or would reasonably be expected to have a significant effect, on the City’s debt and financial obligation limit as determined by O. Reg. 403/02.

“Combined Material Impacts” - means the costs or risks of a proposed Non-Material Lease which when combined with all other Non-Material Leases entered into or proposed to be entered into in a particular year by the City.

“Non-Material Lease” - means a Lease Financing Agreement that will not result in a Material Impact on the finances of the City and includes:

- (i) rental agreements which have a term of less than one year and the cancellation of which results in no financial penalty to the City;
- (ii) commercial real property leases with a term of five years or less;
- (iii) Lease Financing Agreements requiring annual payments for an individual lease of less than \$250,000;
- (iv) Lease Financing Agreements, where the net present value of all lease payments, including possible extensions, renewals and bargain purchase options, is less than \$2 million in the year the Lease Financing Agreement is entered into.

“Material Lease” - means a Lease Financing Agreement that is not a Non-Material Lease.

3. Purpose

The purpose of this policy is to provide guidance to staff when contemplating Lease Financing Agreements for the provision of municipal equipment and facilities. Lease Financing Agreements may be preferred to outright purchase and/or debt financing of equipment and facilities. The City may enter into Lease Financing Agreements in order to acquire the rights to use capital property and equipment, including some or all of the benefits and risks of ownership for specific periods of time and stipulated rental payments.

4. Statement of Polices and Goals

- (a) The following goals and objectives will be used in the consideration and evaluation of all Lease Financing Agreements:
 - (vi) The City shall only consider Lease Financing Agreements that prioritize the City of London’s governing principles;
 - (vii) Lease Financing Agreements shall be entered into with care and prudence, applying experience and professional judgement to each agreement reviewed, with the best interest of the City’s ratepayers in mind;
 - (viii) All lease financing activities shall adhere to statutory requirements as governed by the Ontario *Municipal Act, 2001* as well as other Council approved policies;
 - (ix) Consideration will be given to its impact on future ratepayers in order to achieve an appropriate balance between lease financing and other forms of funding;
 - (x) The City shall manage the exposure to financial risk and the financial impact the Lease Financing Agreements will have on current and future fiscal years.
- (b) Without limitation, the City may enter into Lease Financing

Agreements:

- (iv) for the purpose of obtaining long-term financing of a capital undertaking;
 - (v) to finance equipment, buildings, land or other assets that the City does not have a long-term interest in or may not be able to acquire through other means; or
 - (vi) where a lease provides material and measurable benefits compared with other forms of financing.
- (c) It is the opinion of the Council and the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate that the category of Lease Financing Agreements defined as Non-Material Leases in this policy will not result in a Material Impact for the City.
- (d) It is the opinion of the Council and the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate that Non-Material Leases that require or may require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected and that have a Combined Material Impact less than 20% of the City's annual debt and financial obligation limit determined in accordance with O. Reg. 403/02 will not result in a Material Impact for the City.

5. Application of the Policy (General Provisions - All Lease Financing Agreements)

- a. All Lease Financing Agreements shall be reviewed by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate who shall determine:
- (i) if this policy applies;
 - (ii) if the Lease Financing Agreement is a Material or Non-Material Lease;
 - (iii) the financial and other risks of the Lease Financing Agreement, compared to other forms of financing, which shall include:
 - e. The ability for lease payment amounts to vary if based on changes in an underlying benchmark debt instrument (generally expressed as a particular Government of Canada Bond);
 - f. The ability for lease payments to vary based on changes in the assumed residual values of the asset being leased;
 - g. Uncertainty over leasing costs if contract needs are to be extended or renewed. The normal practice of the City will be to negotiate these costs prior to the Lease Financing Agreement being executed; and
 - h. The potential for the seizure and removal of leased equipment if the leasing company goes into default of its obligations to creditors, and its creditors have the legal right to seize assets of the leasing company. The practice of the City will be to assess the financial strength of the normal leasing company prior to the leasing agreement being executed.
- (b) All Lease Financing Agreements shall include a schedule of all fixed payments, if any, required for the term and any extensions or renewal.
- (c) The requirements in section 6 apply to all Lease Financing

Agreements except;

- (i) Non-Material Leases that do not or may not require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected; or
 - (ii) Non-Material Leases that require or may require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected and that have a Combined Material Impact less than 20% of the City's annual debt and financial obligation limit determined in accordance with O. Reg. 403/02.
- (d) A Lease Financing Agreement to which this policy does not apply must comply with any other applicable City policies or procedures, including without limitation to any requirements for review, approval and reporting to Council.

6. Lease Financing Agreements Approval Process

- (a) This section applies to:
- (ii) all Material Leases; and
 - (iii) all Non-Material Leases that require or may require the City to make payments after the expiry of the term for which the Council authorizing the agreement was elected and that have a Combined Material Impact greater than 20% of the City's annual debt and financial obligation limit determined in accordance with Ontario Regulation 403/02.
- (c) Before entering into a Lease Financing Agreement the Corporation shall:
- (i) have the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate prepare a report with a recommendation assessing, in ~~her or his~~ **their** opinion, the costs and financial and other risks associated with the proposed Lease Financing Agreement including any possible extensions or renewals which report shall include:
 - a. a comparison between the fixed and estimated costs and the risks associated with the proposed Material Lease and those associated with other methods of financing;
 - b. a statement summarizing, as may be applicable, the effective rate or rates of financing for the Material Lease, the ability for lease payment amounts to vary, and the methods or calculations, including possible financing rate changes, that may be used to establish that variance under the lease;
 - c. a statement summarizing any contingent payment obligations under the lease that, in the opinion of the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate, would result in a Material Impact for the municipality, including lease termination provisions, equipment loss, equipment replacement options and guarantees and indemnities;
 - d. a summary of the assumptions applicable to any possible variations in the lease payment and contingent payment obligations; and

- e. any other matters the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate or City Council considers advisable.
- (c) Obtain legal advice and financial advice with respect to the proposed agreement.
- (d) Consider if the scope of the proposed transaction warrants obtaining legal advice or financial advice with respect to the proposed agreement that is from a source independent of the source of the advice mentioned in paragraph (c) above.
- (e) Consider, as of the date of the report under paragraph (i) above, whether the costs of financing for the proposed agreement are lower than other methods of financing available to the City and whether the risks associated with the proposed agreement are reasonable. Costs of any legal or financial advice would also be included in the costs of financing.
- (f) If at any time after a report is made but before the proposed Lease Financing Agreement is entered into, the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate becomes of the opinion that a changed circumstance with respect to the proposed Lease Financing Agreement may result in a Material Impact for the City, the report shall to updated as soon as reasonably possible and present the updated report to Council.

7. Annual Report to Council

- (b) Once in every fiscal year or more often if Council requires, the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate shall provide a report to Council containing the following:
 - (i) a description of the estimated proportion of the total financing arrangements of the municipality that is undertaken through Lease Financing Agreements to the total long-term debt of the City;
 - (ii) a description of the change, if any, in that estimated proportion since the previous year's report;
 - (iii) a statement by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate as to whether, in **their** his/her opinion, all Lease Financing Agreements were made in accordance with this policy; and
 - (iv) any other information that may be requested by Council or that, in the opinion of the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer or designate, should be recorded. ADOPTED JUNE 23, 2014 (By-law No. A.-7126-225)

Technical Amendment Rationale:

The policy has been amended to reflect gender neutral pronouns.

8(28) Multi-Year Budget Policy

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

1.0 BACKGROUND & AUTHORITY

Municipal Act, 2001, Section 291(1) authorizes a municipality to prepare and adopt a budget covering a period of two to five years in the first year to which the budget applies or in the year

immediately preceding the first year to which the budget applies. The process for preparing and adopting a multi-year budget and the requirements for a municipality's budget are prescribed in the *Municipal Act, 2001*.

If a municipality chooses to adopt a multi-year budget, establishing an annual review process is mandatory as outlined in section 291(4) of the *Municipal Act, 2001*. The annual review process requires Council to readopt the budget for that year and subsequent years that the budget applies in order to ensure the municipality has sufficient funds to pay all debts, amounts required for sinking funds or retirement funds, and amounts required for boards, commissions or other body. Also, pursuant to section 290(6) of the *Municipal Act, 2001* the passing of a multi-year budget does not limit the power of a municipality to amend or revoke a budget adopted under section 290 nor does it remove the obligation of a municipality to levy taxes in each year.

Integration and alignment with Council's Strategic Plan to the multi-year budget provides links to the delivery of the Strategic Plan with the funding requirements. Benefits of multi-year budgeting include the following:

- Alignment of longer-term goals and objectives with longer-term funding plans;
- Greater certainty is provided to tax payers/residents about the future direction of taxes and the timing of implementation of the Strategic Plan;
- Improved accountability and transparency over spending plan changes; and
- Prioritization principles aligned with service delivery principles that include:
 - Risk profile
 - Degree and speed of implementation.
 - Balancing competing needs across various strategic areas of focus.
 - Impact to the community.

2.0 PURPOSE

The purpose of the multi-year budget policy is to define the approach to be used for multi-year budget planning and Council approvals.

3.0 SCOPE

The scope of multi-year budgeting, including both operating and capital, extends to all City of London civic service areas, boards, and commissions.

4.0 APPROACH / PROCEDURE

Approvals / Adjustments To Multi-Year Budget:

1. A multi-year budget is developed covering a four year time period beginning in the second year of a new Council term. Annual updates will be brought forward for Council consideration during the remaining Council term. The first year of a new Council term will be to reconfirm the fourth year of the multi-year budget.
2. Early in a new Council term, the Council will develop its Strategic Plan.
3. Council will approve a four year average annual tax levy adjustment from rates that addresses municipal inflationary pressures and funding for new strategic initiatives that are aligned with Council's Strategic Plan.
4. Civic Administration will prepare a business plan that clearly states the current state and future direction of the service. The business plan identifies the strategies and priorities that are driving the strategic direction of the service. All strategies and priorities must be aligned with the Council's Strategic Plan.
5. Civic Administration will present to Council a budget that is in compliance with the *Municipal Act, 2001*. The budget will contain adjustments to reflect inflationary pressures and strategic initiatives that would further adjust the budget requirement. Each strategic

initiative submitted for Council consideration shall be supported with a comprehensive business case.

6. In the first year, the Civic Administration will be seeking approval of a multi-year budget for a four year period. Commencing in the second year and in each subsequent year of the multi-year budget, the Council is required by the Municipal Act, 2001 to review and readopt the budget for that year. As part of the review process, the Council is required to make changes that are required for the purpose of making the budget compliant with the provisions of the Act which include ensuring that the municipality has sufficient funds to pay all debts, amounts required for sinking funds or retirement funds and amounts required for boards, commissions or other bodies. As such, Council will have the opportunity to make other amendments or fine-tune the budget annually. In addition to the matters required to be addressed by the Municipal Act, 2001, the scope of annual budget changes may include, but are not limited to, the following:
 - a. Changes to Council priorities impacting municipal services that require amendments to business plans and budgets;
 - b. External factors such as changes to Federal/Provincial policies that impact municipal costs, unanticipated changes in purchased services such as insurance premiums, or changes imposed on pension plan contributions;
 - c. Unanticipated changes to economic forecasts that impacts municipal costs or revenues. For example, significant changes to interest rates may result in higher costs of borrowing;
 - d. Changes to financing contained in the operating and capital budget as a result of capital project adjustments;
 - e. Proposed changes to future year's operating budgets should only be brought forward and approved once per year. Adjustments are limited to once per year, during the annual update period, to ensure that all requests are considered together;
 - f. Capital budget adjustments can be brought forward at any time during the year, with an identified source of financing, and are not limited to the annual update period. Capital budgeting, by its very nature, is more time sensitive to approvals in order to ensure projects are not delayed (ex. limited construction season);
 - g. Changes to budgets resulting from the annual service review process that employs a zero-based budgeting approach; and
 - h. Changes to budgets resulting from the allocation of assessment growth funding.
7. The Treasurer or designate is authorized to make adjustments considered "housekeeping" in nature.

ADOPTED MAY 12, 2015 (By-law No. A.-7261-170)

8(29) Surplus/Deficit Policy

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

1.0 POLICY STATEMENT AND PURPOSE

The purpose of this policy is to establish a priority framework for the allocation of any operating surpluses and funding for any operating deficits.

2.0 SCOPE

This policy applies to the annual operating property tax supported budget.

3.0 PRINCIPLES

With the overarching principle that all surpluses and deficits be treated as one-time in nature, the one-time allocation and funding principles of the Surplus/Deficit Policy are as follows:

In A Year Of Surplus

- a) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate be authorized to contribute an amount to the Operating Budget Contingency Reserve (OBCR) not to exceed the reserve target balance of 1.5% - 2.0% of the property tax gross expenditure budget, subject to the contribution to the OBCR being confirmed by the Municipal Council.
- b) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate be authorized to contribute an amount to the Unfunded Liability Reserve not to exceed any operational savings realized from personnel and contingency budgets at year-end.
- c) Remaining surplus to be reported in the 4th Quarter Operating Budget Status Report with the surplus contributed to the OBCR to balance year-end operations. The remaining surplus allocations shall be drawn down from the OBCR and allocated in accordance with the following proportions:
 - i. 50% of any operating surplus shall be applied to reduce authorized but unissued debt, it being noted that debt reduction will reduce future year's debt servicing costs.
 - ii. 25% of any operating surplus shall be contributed to the Community Investment Reserve Fund to be allocated at the discretion of Municipal Council.
 - iii. 25% of any operating surplus shall be contributed to the Capital Infrastructure Gap Reserve Fund to mitigate growth in the infrastructure gap.
 - iv. In A Year Of Deficit
- d) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate be authorized to drawdown from the OBCR to balance year-end operations.

4.0 REPORTING

- a.) The Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate shall strive to provide the following reports related to year-end projected surplus or deficit positions within 45 days of the close of the reporting period:
 - iv. Second Quarter Operating Budget Status Report to be submitted at the discretion of the City Treasurer (January 1st to June 30th)
 - v. Third Quarter Operating Budget Status Report (January 1st to September 30th)
 - vi. Fourth Quarter Operating Budget Status Report (January 1st to December 31th)

5.0 TRANSITION TO NEW SURPLUS/DEFICIT POLICY

As part of the existing Surplus/Deficit Policy (passed by Municipal Council on December 3, 2007), an annual draw of \$850 thousand from the OBCR was established. This annual draw is recognized as revenue each year, reducing the property tax levy requirement.

To mitigate budget pressures within the implementation of the City's first multi-year budget (2016-2019), the plan is to phase out the \$850 thousand draw from the OBCR by the year 2021. This approach provides needed continuity to the City's existing budget framework, while ensuring the elimination of this draw occurs in a reasonable period.

ADOPTED DECEMBER 8, 2015 (By-law No. A.-7330-14)

8(30) Assessment Growth Policy

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

1.0 POLICY STATEMENT AND PURPOSE

The purpose of this policy is to establish a priority framework for the allocation of assessment growth funds.

2.0 SCOPE

This policy applies to the property tax supported budget.

4.0 PRINCIPLES

- a) Civic service areas, boards and commissions that incur costs to provide existing core services to new growth areas are required to submit business cases to the Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate.
- b) The first available assessment growth funds are applied to business cases approved by the Managing Director, Corporate Services & City Treasurer, Chief Financial Officer or designate.
- c) If business cases submitted by civic service areas, boards and commissions exceed available assessment growth funding then:
 - a. Approved business cases will be allocated funding according to the following priority order, it being noted that funding allocations to service areas for costs due to a growing and expanding City may be either one-time or permanent in nature:
 - i. Flow through costs for business cases funded through assessment growth in the prior year;
 - ii. Services that are aligned with those supported through Development Charges; and,
 - iii. Business cases will be evaluated as to whether the service and/or funding could be deferred to next year and whether significant service disruptions would occur if the service did not receive the current year growth funding.
 - b. Unfunded business cases will be resubmitted for consideration in the following year.
- d) If assessment growth funding exceeds the accumulated growth costs of civic service areas, boards and commissions in any one budget year, the balance available will be applied in that year as follows:
 - a. 50% to reducing authorized debt on a one-time basis; and,
 - b. 50% to the Capital Infrastructure Gap Reserve Fund on a one-time basis to mitigate growth in the infrastructure gap.
- e) Excess assessment growth funding not allocated permanently, will be carried forward to the following year as a permanent source for future growth costs.

5.0 BUDGETING FOR ASSESSMENT GROWTH

- a) For forecast purposes, assessment growth will be assumed to be fully allocated to growth costs. Assessment growth and its allocation will be reported annually after the assessment roll is finalized.

5.0 POLICY REVIEW

This policy shall be presented to Council for review every four years, in the first year of each elected Council.

ADOPTED MARCH 10, 2016 (By-law No. A.-7361-81)

8(31) Debt Management Policy

Service Area Lead: Finance & Corporate Services

Type of Change: No Change

1.0 POLICY PURPOSE

The purpose of this policy is to establish objectives for debenture and other forms of financing necessary to meet The Corporation of the City of London's (the "City") infrastructure and operating requirements as prescribed by the relevant sections of the Municipal Act, 2001, c 25 (the "Act"), specifically Part XIII Debt and Investment, and the applicable regulations thereunder.

This policy also establishes strategies for managing debt, including establishing parameters related to new debt being authorized or issued and ensuring that debt is at a level that will not impair the financial position or the credit rating of the City.

2.0 SCOPE

This policy applies to all financial obligations made by the City on its own behalf and on behalf of its agencies, boards and commissions as well as Elgin Area Primary Water Supply and Huron Primary Water Supply System in the City's capacity as the Administering Municipality, in accordance with the Transfer Orders issued September 15, 2000.

The following types of financial obligations are excluded from this policy;

1. Lease Financing Agreements;
2. Financial Guarantees; and
3. Letters of Credit

3.0 DELEGATION OF AUTHORITY

The City Treasurer shall have overall responsibility for the debt program. The City Treasurer or designate shall have the authority to implement the debt program and establish procedures consistent with this policy.

4.0 OBJECTIVES

The primary objectives of this policy are as follows;

1. Adherence to statutory requirements

The City shall secure temporary or long-term borrowing for municipal purposes as prescribed by the Act, specifically Part XIII Debt and Investment and the applicable regulations thereunder, including, but not limited to Ontario Regulation 403/02 Debt and Financial Obligation Limits; Ontario Regulation 438/97 Eligible investments and Related Financial Agreements; Ontario Regulation 247/01 Variable Interest Rate Debentures and Foreign Currency; and Ontario Regulation 276/02 Bank Loans, as amended.

2. Minimize long-term cost of financing

The City shall ensure that the debt program uses a systematic approach that minimizes the impact of debt servicing costs on the tax levy.

5.0 STRATEGY

1. Limiting and Reducing Authorized Debt

- a) The City shall limit the amount of debt authorized on an annual basis by applying debt financing to projects in the capital plan in a manner consistent with the following;
 - i. Debt financing shall be avoided as a source of funding for lifecycle renewal projects;

- ii. Debt financing may be utilized as a source of funding for growth projects; and
 - iii. Debt financing may be utilized as a source of funding for service improvement projects.
- b) The City Treasurer shall have the authority to change the above application of debt financing as a source of funding for projects in the capital plan.
- c) The City shall limit debt financing as a source of funding in the capital plan by way of an internal debt cap. The City Treasurer shall have the authority to set and modify the internal debt cap such that the internal debt cap meets the City's long-term financing strategies and does not contravene the Act or regulations thereunder.
- d) Authorized debt shall be reduced as follows;
 - i. As prescribed by the Council approved Surplus/Deficit and Assessment Growth Policies.
 - ii. By the amount of surplus in the capital financing budget in a given year, unless otherwise directed by the City Treasurer.

2. Minimizing Risk Associated with Issuing Debt

- a) The City shall not issue long-term financing on projects/capital works until they are substantially complete or a discernable phase is complete.
- b) The timing and amount of debt issued in a given year shall be at the discretion of the City Treasurer or designate after consideration of cash flow requirements, budget constraints, and market conditions. This discretion must be exercised in accordance with the Act and the regulations.
- c) The City's general practice shall be to issue debt that is denominated in Canadian dollars with fixed interest rates over the term. Notwithstanding, if a borrowing structure is presented for which there is a material financial advantage and/or it is deemed prudent for the City to issue debt that is subject to interest rate fluctuations, the City may, at the discretion of the City Treasurer, consider entering into this type of arrangement. Variable interest rate structures must be in accordance with Ontario Regulation 247/01.
- d) Debt financing shall be secured for either a temporary or long-term basis as follows;
 - i. Temporary financing instruments may be issued either for operating or capital purposes. Temporary financing for amounts that the City considers necessary to meet the expenses during the current fiscal year until the receipt of taxes and other revenues shall be in accordance with section 407 of the Act and the temporary borrowing by-law passed by Council each year.
 - ii. Long-term financing of capital works which are deemed neither temporary operating and/or temporary capital financing may be secured from sources that comply with the Act and the regulations thereunder.

3. Minimizing Debt Servicing Costs

- a) The City Treasurer shall set debt servicing cost targets for each rate base (i.e. property tax supported, wastewater, water, and development charges) and these targets shall be a general guideline and utilized in the development of the City's budgets. These targets shall align with the City's long-term financing strategies and be subject to the requirements of the Act.
- b) The City shall strive to maintain a strong credit rating to assist in securing a favourable cost of borrowing.
- c) The City shall have a term preference of 10 years for debentures or other types of long-term financing for capital works. The term of long-term financing shall not extend beyond

the lifetime of the capital work for which the debt was incurred and shall not exceed 40 years in accordance with Section 408 (3) of the Act. The term preference as well as structure of long-term financing instruments will be at the discretion of the City Treasurer or designate and subject to the requirements of the Act.

- d) The City shall monitor debt servicing costs and annual repayment limits as prescribed under Ontario Regulation 403/02: Debt and Financial Obligation Limits. The City shall also utilize other benchmarks, measures, indicators, ratios and limits as determined relevant and appropriate by the City Treasurer or designate to monitor debt levels and servicing costs. These measures shall include, but are not limited to debt servicing costs as a percentage of gross operating expenditures, debt financing as a percentage of the capital budget, debt per household and debt servicing costs as a percentage of revenue.

6.0 REPORTING

In addition to any information requested by Council, or any information that the City Treasurer considers appropriate, the following shall be reported to Council;

1. The status of issued and authorized debt as well as debt servicing costs through the capital and operating monitoring reports;
2. Projections for debt levels and debt servicing costs through the budget process; and
3. Debenture issuances.

7.0 POLICY REVIEW

This debt management policy shall be reviewed at a minimum every four years by the City Treasurer and be updated as deemed appropriate or required.

8.0 DEFINITIONS

Annual Repayment Limit: Under Regulation 403 /02: Debt and Financial Obligation Limits, this limit represents the maximum amount which the municipality has available to commit to payments relating to debt and financial obligations without seeking the approval of the Ontario Municipal Board. This limit is provided annually to a municipality by the Ministry of Municipal Affairs and Housing, additionally this limit must be updated by the City Treasurer prior to Council authorizing any increase in debt financing for capital expenditures.

Authorized Debt: Council approved debt financing as a source of funding for capital projects.

Capital Financing: A generic term for the financing of capital assets. This can be achieved through a variety of sources such as tax levy, grants, reserve funds and debt.

Capital Plan: The budget for capital projects i.e. the expenditures and resources required for capital projects.

Debenture: A formal written obligation to pay specific sums on certain dates. In the case of a municipality debentures are typically unsecured i.e. backed by general credit rather than by specified assets.

Debt Management Policy: Refers to this document.

Debt Program: Refers to the practices related to authorizing debt, issuing debt and monitoring debt. For example, part of the debt program includes issuing debt and the particulars related to issuing debt specifically the amount, timing and structure of the issuance. The debt program is derived from the objectives and strategies in debt policy.

Debt Servicing Costs: Cash that is required to cover the repayment of interest and principal on a debt and other costs associated with issuing debt.

Financial Guarantee: An agreement whereby the City will take responsibility for the payment of debt in the event that the primary debtor fails to perform.

Growth Project: Projects that extend services into newly developed areas of the city, for example road widening to handle additional traffic from new subdivisions.

Internal Debt Financing Cap: The City's internal limit on debt as a source of capital financing for capital projects which is set by the City Treasurer. This limit is not referring to limits imposed by the Act or regulations thereunder.

Issued Debt: A fixed obligation, such as a debenture, notes or other agreements between the issuer (the borrower) and the lender. Municipalities issue debt to finance a variety of projects such as infrastructure projects.

Lease Financing Agreement: A financial lease agreement for the purposes of obtaining long term financing of a capital undertaking of the municipality. For example leasing of computer equipment.

Letter of Credit: A binding document from a bank guaranteeing that a buyer's payment to a seller will be received on time and for the correct amount. In the event that the buyer is unable to make payment on the purchase, the bank will be required to cover the full or remaining amount of the purchase (debt).

Lifecycle Renewal Project: Projects that maintain the infrastructure that is in place today, for example resurfacing roads or replacing roofs.

Service Improvement Project: Projects that provide a new or improved level of service or address an emerging need, for example purchasing property for industrial land.

ADOPTED AUGUST 30, 2016 (By-law No. A.-7445-241)

8(13A) Appendix to Financial Relationship with Library Board Policy

The following outlines the financial relationship between the Corporation of the City of London and the London Public Library Board, given the *Public Libraries Act, R.S.O. 1990, Chapter P.44*.

- ~~(1) The Library Board will continue to maintain its own accounting records.~~
- ~~(2) (a) The Library's Sick Leave Reserve is to be converted to a Sick Leave Reserve Fund to be administered by the City. All sick leave payouts are to be funded from the Fund. Contributions are to be made in the amount required to fund the drawdowns and maintain a balance consistent with City policy. The contribution to this Reserve Fund is to be included in the Library's Current Budget.~~
 - ~~(b) The Library's Equipment Reserve is to be converted to a Vehicle Replacement Reserve Fund. Contributions to this Reserve Fund are to be included in the Current Budget submission. Drawdowns are to be included in the Capital Budget submission.~~
- ~~(3) The City of London will continue to process the payroll for the Library Board, so long as this arrangement remains cost effective.~~
- ~~(4) The Library Administration will maintain an ongoing liaison with, and provide all necessary information to the City Administration regarding proposed major new or revised contractual commitments, such as lease renewals and personnel agreements, that are likely to financially impact on the current budget. Likewise, information regarding any activities that may result in additional future capital budget needs will be supplied. This liaison shall be satisfied by the delivery of the Board agenda in advance of Board meetings as per Board by-law which agenda is represented to contain all the information required.~~

Current Budget

- ~~(5) The Library will continue to prepare its budget in the Plan and Budget Document format as per the timetable required by the City of London. Commencing in 1986 this will include Directional and Strategic Plans for the Library. Supplementary information contained in the document will be the same as at present, with the exception that:
 - ~~(a) All new equipment items proposed for purchase from the equipment account are to be identified.~~
 - ~~(b) Five-year projected drawdowns from the Vehicle Reserve Fund are to be submitted as an appendix to the Current Budget submission document.~~
 - ~~(c) Five-year projections of drawdowns from the Sick Leave Reserve Fund and sick leave liability are to be included as an appendix.~~
 - ~~(d) Costs will be identified by major activity as well as by expenditure type and indicators for those activities included where possible; these activities may include: Circulation, Reference, Children's Services, Adult Programming, Museums and Administration.~~~~

~~In addition, the Library Board, in the Annual Budget portion of the Plan and Budget document, particularly the Supplementary Information, will continue to identify the cost of new services and to include explanations of major increases for each expense type as compared to the previous year's budget and projected actual.~~

- ~~(6) Subsequent to approval by the Library Board, the Plan and Budget document is to be reviewed by the Library Administration with representatives of the Financial Planning and Policy Division to obtain an understanding of the content of the budget prior to review by the City Manager and submission to the Board of Control.~~
- ~~(7) Subsequent to approval of the Current Budget, in accordance with the City's appropriation policy, budget performance is to be reviewed and reported to the City Manager at the end of April, June, August, and October or as otherwise may be~~

required by the City of London. The report is to identify any upward or downward adjustment required to Personnel, Administrative Expenses, Purchased Services, Materials & Supplies, Other, Financial Expense and Equipment Expenditure Budgets and Revenue Budgets, Expenditure Budgets are not to be exceeded without approval from the City Manager or Council. Requests for additional funding, required at times other than the appropriation report periods, must be made in writing to the City Manager.

- (8) The City Appropriation to the Library will continue to be paid monthly based on the cash requirement, other than the net Library payroll, of the Library.

Capital Budget

- (9) Capital budget requests will continue to be submitted as per the timetable established by the City and in the prescribed format.

- (10) The Capital Budget submission will continue to be reviewed by the City Manager with the assistance of the City Treasurer and the City Manager will continue to make recommendations regarding the budget submission to the Board of Control, particularly with respect to the level of contributions to the reserve funds and the timing of drawdowns.

- (11) Subsequent to the approval of the Capital Budget, the Library will be required to submit an initiation report in the format prescribed by the City to the City Manager prior to proceeding with the initiation of any capital project.

- (12) The Library is to notify the City Administration whenever it is established that the actual costs of a capital project may exceed the approved budget.

- (13) The request for reimbursement of expenditures is to be submitted to the City Treasurer as in the past.

- (13) The Library is to report on a quarterly basis on the status of the capital projects in the format required by the City. The City will provide periodic Reserve Fund status reports of capital projects displaying drawdowns to date and balance remaining.

8(16A) Appendix to Trust Fund Policy

Purpose: To set out the guidelines under which the City of London will establish and administer trust funds.

Guidelines

- (1) The City Treasurer or his/her designate shall establish and administer trust funds on the following basis:

(a) in accordance with applicable statutes and regulations,

(b) in accordance with specific terms of a Last Will and Testament or other trust indenture,

(2) Legislated Trusts

These trusts shall be administered in accordance with the statutes and regulations establishing them. The City of London administers trusts for residents at Dearness Home in accordance with the *Homes for the Aged Act*, R.S.O. 1990, Chapter H.13 and an Ontario Home Renewal Program trust in accordance with the *Housing Development Act*, R.S.O. 1990, Chapter H.18.

(3) Bequest Trusts

These trusts shall be administered in accordance with the terms and conditions of the Last Will and Testament of the donor. Every attempt should be made to ensure that the conditions regulating use of the funds are general in nature in order to avoid excessive administrative difficulties in disbursing funds.

~~Bequests established with similar purposes should be consolidated into one fund. A memo record may be retained to identify capital receipts by donor and/or separate equity sub-accounts be established for each contribution source.~~

~~Interest on bequests to the Dearness Home will be used for benefit of the Dearness Home and its residents.~~

~~(4) General~~

- ~~(a) The City Treasurer or his/her designate shall be responsible for establishing and administering all Trust Funds with the exception of trust funds administered by the Library Board and Museum London. The City Treasurer shall report to Council once per year, as at December 31 on the financial position and income and expenditures of trust funds administered during that period. The report format will be consistent with that required under the Municipal Financial Reporting Handbook.~~
- ~~(b) Interest on short term investments shall be credited to each trust fund not less than semi-annually, in arrears, with the exception of the OHRP and Dearness Resident trusts where volume considerations will dictate the periodic allocation of interest. The interest credited to said trust funds shall be equal to the amount earned by the Corporation by the deposit or investment of said funds on an individual or pooled basis. Trust funds must maintain a minimum average balance of \$100 to earn interest for the allocation period.~~
- ~~(c) Interest on long term investments shall be accounted for on a "cash" basis (i.e. credited to trust funds, in arrears, based on the timing of receipts of interest proceeds for each specific fund).~~
- ~~(d) The accounting policies for trust funds shall follow generally accepted accounting principles as set out in the Municipal Financial Reporting Handbook and conform to the Corporate accounting policies prescribed from time to time by the City Treasurer or his/her designate with the exception of accounting for interest on long term investments as outlined in (4)(c) above.~~
- ~~(e) All investments relative to trust funds shall be made in accordance with the *Trustee Act, R.S.O. 1990, Chapter T.23* and City of London Investment Policy.~~
- ~~(f) In accordance with all appropriate legislation the City Treasurer, or his/her designate shall have the financial records of all trust funds audited annually by the Corporation's external auditor.~~

8(18A) Appendix to Policy for the Administration of the Industrial Oversizing Reserve Fund

Definitions

1) In this policy,

~~(a) "agreement" means~~

- ~~(i) in the case of a person other than the City, a subdivision or development agreement,~~
- ~~(ii) in the case of the City acting as the subdivider or developer of its own land, a resolution or by-law initiating such subdivision or development,~~
- ~~(iii) in the case of the City not acting as a subdivider or developer of its land, a resolution or by-law initiating oversized services to be undertaken by the City which benefit land designated or zoned for industrial use.~~

~~(b) "industrial oversizing" means the extra capacities of any municipal work to service land designated or zoned for industrial use other than those of the subdivider or developer with whom the City has an agreement, and "oversizing" and "oversized services" have a corresponding meaning.~~

- ~~(c) "Reserve Fund" means the industrial oversizing reserve fund established by By-law A-5840-172.~~

~~Interpretation~~

~~2) In this policy,~~

- ~~(a) "Area 1" means the Urban Growth Area except for the pre-1993 City Area as highlighted on the map shown in Appendix A to this schedule;~~
- ~~(b) "Area 2" means that area of the Pre-1993 City Area as highlighted on the map shown in Appendix A to this Schedule;~~
- ~~(c) "Developer" includes subdivider;~~
- ~~(d) "Development" includes subdivision and redevelopment and "develop" has a corresponding meaning;~~
- ~~(e) "Pre-1993 City Area" means that area of the City of London which comprised the City of London on the 31st day of December 1992;~~
- ~~(f) "Urban Growth Area" means the urban Growth Area existing from time to time as identified in the City's Official Plan as approved;~~
- ~~(g) "UWRF" means the Urban Works Reserve Fund"; and~~
- ~~(h) the effective date of this Policy is July 7, 2003.~~

~~General~~

~~3) The purpose of the Reserve Fund is to provide funds for the cost of oversized services undertaken~~

- ~~(a) by a subdivider or developer pursuant to the subdivision or development agreement with the City,~~

~~(b) by the City acting as a subdivider or developer of its own land, and~~

- ~~(c) by the City in all other cases where such oversized services benefit land designated or zoned for industrial use.~~

~~(4) Approved agreements, accompanied by approved budget allocations related to industrial oversizing will be commitments of the Reserve Fund.~~

~~(5) All recommendations on proposed commitments on the Reserve Fund are to be prepared jointly by the General Manager of Environmental and Engineering Services & City Engineer, (hereinafter referred to as the "City Engineer"), the City Treasurer and the General Manager of Planning and Development.~~

~~(6) All recommendations on proposed agreements related to industrial oversizing are to be submitted to the Planning Committee and subsequently to the Board of Control for concurrence and to the Council for its approval. Recommendations on proposed commitments must be accompanied by recommendations on the source of financing of those commitments.~~

~~(7) The balance available in the Reserve Fund is to be used on a sequential basis (that is, committing money for each industrial subdivision or development as and when the capital budget for that commitment is approved by Council.)~~

~~(8) The agreements will specify the maximum amount of the commitment and payment. The amount will be committed from the available balance in the Reserve Fund. Any actual cost in excess of the maximum stated in the agreement will be borne by the subdivider or developer.~~

~~(9) In the case of subdivision agreements, the commitment against the Fund is considered to arise when the Council approves the terms of the agreement and~~

authorizes the Mayor and City Clerk to execute the agreement.

~~In the case of development agreements, the commitment against the Fund is considered to arise when the agreement is approved under section 41 of the *Planning Act*, R.S.O. 1990, Chapter P.13 pursuant to By-law C.P. 1213-340.~~

~~In the case of projects initiated by the City, the commitment against the Reserve Fund is considered to arise at the time Council adopts the initiating recommendation of the City Engineer.~~

- ~~(10) If the subdivision agreement is not executed within 60 days of Council approval or if the development agreement is not executed within 60 days of approval pursuant to By-law C.P. 1213-340, the commitment against the Fund and as outlined in the agreement will end.~~
- ~~(11) If a subdivider or developer so chooses, he may construct internal and external services at his own expense with no commitment by the City of his ever being reimbursed by the City for any part of the cost.~~
- ~~(12) The subdivider or developer is to deliver security to the satisfaction of the City Treasurer guaranteeing performance of services in accordance with City policy.~~
- ~~(13) Upon completion of construction, the subdivider or developer will submit his claim to the City Engineer for review and when approved will be forwarded to the City Treasurer.~~
- ~~(14) When the City Treasurer has received the approved claim, payment will be made up to the amount that was committed when the agreement was entered into. If the claim is less than the committed amount, the excess will become an available balance of the Reserve Fund.~~
- ~~(14) Every subdivision and development agreement related to industrial oversizing shall specify a date by which construction of industrial oversizing shall be completed to the City's satisfaction, but such completion date specified shall not be more than one year following the date of execution of the agreement. If construction is not commenced or if construction is commenced but not completed to the City's satisfaction by the date specified in the agreement, the City is under no obligation whatsoever in law or otherwise to pay any part of the IORF portion of the costs at any time. No claims to the Fund shall be accepted for works that form part of an agreement for which:
 - ~~(a) security has been released; and~~
 - ~~(b) in the case of subdivision agreements, the "Certificate of End Warranty" has been issued.~~~~
- ~~(2) To determine the need for and adequacy of such services as minor road and sewerage works required for development, the following policy objectives will be considered:
 - ~~(a) The provision or extension of a required service where no such service exists to serve the proposed development.~~
 - ~~(b) The provision of additional capacity to an existing service which has insufficient or no spare capacity to serve the proposed development.~~
 - ~~(b) The raising of an existing service of adequate capacity, but low standard, to an adopted higher level of improvement compatible with the abutting lands being developed.~~
 - ~~(c) The provision of sufficient additional capacity, in an existing service to be improved or a new service to be provided as determined above, to serve future~~~~

development in the surrounding contributory area as anticipated for some time ahead.

- (d) ~~That at all times, the works be designed to ensure efficient and economical servicing of the City's growth areas, and ensure that the services be designed and constructed in a least cost manner.~~

~~(17) In all cases, the developer bears the cost of financing the works.~~

Minor Road Works

~~(18) Minor road works consist of the construction or expansion of road works, that are primarily intended to satisfy the needs of particular developments to ensure safe, efficient traffic flows and pedestrian movement. These "minor road works" are triggered by development applications and would include street lighting, channelization such as left and right turn lanes, median work, intersection improvements including traffic signals and sidewalks that are on arterial or primary collector roads.~~

~~(19) The developer finances and constructs the required works as follows:~~

- ~~(a) The developer bears the cost of financing.~~
- ~~(b) The developer of industrial lands may claim 50 percent from the Fund and the balance from the UWRF.~~

Sanitary Sewer Pipe Works

~~(20) The City constructs and finances the cost of sewage treatment plants, major pumping stations and major trunk sewers in accordance with its five-year Capital Works Budget, and works identified for at least partial funding from development charges collected under the *Development Charges Act, 1997* or any successor thereto according to the background studies, from time to time.~~

~~(21) Sanitary sewer pipe works that may be eligible for claim from the Fund consist of sewerage works approved by the City Engineer.~~

~~The developer finances and constructs the required works as follows:~~

Within Area 1

- ~~(a) For the portion of the works which services less than 30 hectares, the developer bears the full cost of the works.~~
- ~~(b) For the portion of the works which services 30 hectares or more, the developer may claim the full cost of the works, from the Fund for the portion attributable to servicing industrial lands and from the UWRF for any portion attributable to servicing non-industrial lands.~~

Within Area 2

- ~~(c) Sanitary sewer pipe works that may be eligible for claim from the Fund consist of sewerage works not necessarily identified in the City's Sanitary Servicing Study.~~
- ~~(d) The developer finances and constructs the works. The developer is responsible for the portion of the full cost that is in the same ratio to the full cost as the development's design flow bears to the required works' total design flow. The balance is claimable by the developer, from the Fund, for the~~

portion attributable to servicing industrial lands and from the UWRF for any portion attributable to servicing non-industrial lands.

Stormwater Sewerage Works

~~(22) Stormwater pipe works consist generally of permanent trunks and sub-trunk works, identified through community planning studies.~~

The developer finances and constructs the required pipe works as follows:

~~Within Area 1~~

- ~~(a) For the portion of the works which services less than 20 hectares, the developer bears the full cost of the works~~
- ~~(b) For the portion of the works which services 20 hectares or more, the developer may claim the full cost of the pipe works, from the Fund for the portion attributable to servicing industrial lands and from the UWRF for any portion attributable to servicing non-industrial land.~~

Within Area 2

- ~~(c) Stormwater sewerage works consist of any works not necessarily identified through community planning studies, but, will generally be permanent pipe works, as approved by the City Engineer.~~
- ~~(d) The developer finances and constructs the works. The developer is responsible for the portion of the full cost that is in the same ratio to the full costs as the development's design flow bears to the required works' total design flow. The balance is claimable by the developer, from the Fund, for the portion attributable to servicing industrial lands and from the UWRF for any portion attributable to servicing non-industrial lands.~~

Stormwater Management Works

~~(23) Stormwater management works consist of permanent storm water management facilities, including but not restricted to major detention facilities and local drainage works identified through the master plan process.~~

~~Within Area 1~~

~~The developer finances and constructs the required works, as follows:~~

- ~~(a) With respect to land acquisition for stormwater management facilities the value of the land shall be subject to review every five years and is established as follows:~~

~~**Floodplain** - private lands that are within the 1:250 Regulatory Storm Event Line and that are subject to regulation (ESA and buffer limit and/or stable slope line).
\$5,500/Acre (\$14,590/ha)~~

~~**Park Land** - lands set aside as a dedication for parks and not designated for development: \$ nil~~

~~**Table Land** — lands designated in the Official Plan for development: **\$15,000/Acre (\$37,065/ha)**~~

~~(b) — If the subdivider chooses to relocate an existing internal watercourse outside of the subdivision, then no claim for easement acquisition may be made for the open channel.~~

~~(c) — Land costs relating to existing watercourse improvements are not claimable.~~

~~(d) — Where a portion of the storm water management facilities are on line with the water course, the land beyond the pre-development 100 year floodline and within the post-development 100 year floodline is claimable at the Floodplain Land rate.~~

~~(e) — The developer may claim the full cost of the stormwater management works from the Fund for the portion attributable to servicing industrial lands and from the stormwater management segment of the UWRF for any portion attributable to servicing non-industrial lands.~~

~~*Within Area 2*~~

~~(f) — Stormwater sewerage works consist of any works not necessarily identified through community planning studies, but, will generally be permanent stormwater management works, as approved by the City Engineer.~~

~~(g) — The developer finances and constructs the works. The developer is responsible for the portion of the full cost that is in the same ratio to the full costs as the development's design flow bears to the required works' total design flow. The balance is claimable by the developer, from the Fund for the portion attributable to servicing industrial lands and from the UWRF for any portion attributable to servicing non-industrial lands.~~

~~(h) — Land costs associated with these stormwater management works are to be borne by the developer and are not eligible for claim.~~

Service Area Lead: City Manager's Office

Type of Change: New Policy

COMMUNITY ARTS INVESTMENT PROGRAM (CAIP) POLICY

PURPOSE: This program provides guidelines and criteria for The Corporation of the City of London to:

- provide operating financial assistance to non-profit arts organizations or artists within the London arts community;
- encourage public awareness and appreciation of the arts;
- increase access to quality local arts programming; and,
- enhance London's desirability as a community.

SCOPE: This program will not include:

- festivals;
- museums;
- The London Regional Art and Historical Museums (Museum London);
- cultural organizations;
- organizations or artists not located within the City of London.

However, these types of organizations, if they meet the program criteria, may continue to seek operational financial assistance from other existing City programs.

For the purposes of this program, CAIP applies to a local arts organization or artist(s) who operates on a not-for-profit basis and who has operating revenues that are less than \$1,000,000.

Arts festivals and events are permitted to apply to this category. Arts festivals and events are defined as: "having a clearly articulated mandate which focuses on a specific art form (or forms) that is thematically linked under artistic direction. Arts festivals and events offer unique opportunities for audiences to experience particular kinds of work, e.g.: music, theatre, visual art, literature, dance or film. These art form specific festivals and events showcase the arts and artists available in London to both local residents and visitors alike";

GUIDELINES:

- a) Annual funding will be made available by the City, subject to Council approval of funding through the Multi-Year Budget;
- b) Applications will be reviewed and administered, in a City-wide context, by a peer assessment group. This group, referred to as the London Arts Council, whose jury members are representative of arts, business and the general community. Conflict of interest guidelines are maintained by the London Arts Council.
- c) Funding awarded by the London Arts Council must be intended and used to further an organization's non-profit activities and must not, either directly or indirectly, be intended or used to further a profit venture or intended or used for capital purposes including, but not restricted to, the purchase of land, equipment, fixtures or physical facilities. An application for assistance under the Community Arts Investment Program does not preclude an organization from applying for capital assistance to the City of London.
- d) The London Arts Council will provide the City of London Culture Office with an annual accounting of the allocation of Community Arts Investment Grants. The accounts will also include an identification of the grants requested, which were reduced or refused.
- e) The successful organization or artist(s) will acknowledge City support in its promotional materials in a manner acceptable to the City's Communications Division.

- f) These guidelines shall be reviewed at least once every three years.

CRITERIA:

The London Arts Council will take the following criteria into consideration when reviewing grant applications:

- a) Community:
- i) the organization or artist(s)'s activities are directed to the improvement of the quality of life in London;
 - ii) the organization or artist(s) conducts its activities primarily in London and for the benefit of the residents of London;
 - iii) the organization or artist(s) encourages the participation of Londoners; and
 - iv) the organization or artist(s) expends its financial resources in London.
- b) Activities and Services:
- i) the activities and services are of a quality to merit public support;
 - ii) the activities of the organization or artist(s) do not substantially duplicate the efforts of other organizations or other government supported individuals or organizations;
 - iii) the organization collaborates with other non-profit organizations in pursuing its objectives;
 - iv) the organization or artist's activities bring provincial, national, or international recognition to London;
 - v) the organization or artist(s) demonstrates development and innovation in its programming and activities; and
 - vi) the organization or artist(s) provides and supports instructional programs relative to its objectives and activities for the residents of London through outreach activities and programming.
- c) Management and Financial Responsibility:
- i) the organization is managed in a responsible manner;
 - ii) the organization or artist(s) demonstrates initiative and success in generating revenue outside of the Community Arts Investment Program;
 - iii) the organization or artist(s) measures the success of the activities and/or programs on an ongoing basis and shares the results of these measures with the City and other interested stakeholders; and
 - iv) the organization is encouraged to consider providing indemnity insurance for the person who sit on its Board of Directors.
- d) Volunteers:
- i) the organization actively and successfully encourages volunteerism.

PROCEDURES:

- a) The organization or artist(s) will submit a grant application for the next calendar year to the London Arts Council. The application form and submission process will be determined by the London Arts Council subject to the approval of the Culture Office.
- b) The London Arts Council will provide an annual information report to the Culture Office of the City of London by the end of each year. This information report will contain the identification of the name and dollar value of the funding requests received to date as well as all funding allocated through granting streams and supported programs of CAIP.
- c) The current year's grant allocation for CAIP is subject to the approval of the City Council through its annual budget process and will be provided for distribution purposes to the London Arts Council upon budget approval.

New Policy Rationale:

On May 26, 2015 Council approved the renewal of the London Arts Council (LAC) Agreement for June 1, 2015 to April 20, 2019, to provide services including the administration of the City funding for the Community Arts Investment Program (CAIP). Part 4 of the obligations of the Agreement state that the LAC will operate and administer the CAIP in accordance with the CAIP Policy approved by City Council.

In 2004, the CAIP Policy was incorporated as a section of a larger grant policy, 8(11) *Grants and Capital Grants Policy*. On December 8, 2015, Municipal Council repealed all of policy 8(11), and replaced it with the *London Community Grants Policy*. The *London Community Grants Policy* does not include the CAIP Policy, which prior to being incorporated into 8 (11) *Grants and Capital Grants Policy*, had been a separate standalone policy adopted by City Council in June 2000. In order to remain in compliance with LAC agreement and to maintain continuity of the CAIP Policy with the arts sector, this report recommends re-establishing the CAIP Policy as a new policy in Chapter 8 of the Council Policy Manual.

Service Area Lead: Finance and Corporate Services

Type of Change: New Policy

CAPITAL BUDGET AND FINANCING POLICY

1.0 POLICY STATEMENT AND PURPOSE

The purpose of this policy is to establish a framework for capital budgeting and financing in order to ensure capital investments are budgeted and monitored with a consistent approach, financed in a manner to ensure a funding mix that places a priority on maintaining long-term financial sustainability, and guidelines are established for closing out capital projects.

2.0 DEFINITIONS

“**City**” means the Corporation of the City of London;

“**City Treasurer**” means the City’s Managing Director, Corporate Services and City Treasurer, Chief Financial Officer;

“**Development Charges Background Study**” – means the background study undertaken by the City for its current Development Charges By-law;

“**Growth**” – means a capital project that will service growth and is included in the Development Charges Background Study;

“**Life Cycle Renewal**” – means a capital project for the rehabilitation or renewal of existing infrastructure due to obsolescence, health and safety concerns, or general deterioration of assets related to use or age;

“**Service Improvement**” - means a capital project that provides a new or expanded level of service to the municipality or enhances an operational service area.

3.0 APPLICATION AND SCOPE

This policy applies to all capital projects undertaken or administered by the City or capital projects that received funding from the City and are undertaken or administered by any of the City’s Local Boards, Commissions, Agencies or Corporations.

4.0 STANDARD OF CARE

The City Treasurer shall have overall responsibility for the capital budget and financing program. The City Treasurer or designate shall have the authority to implement the capital budget and financing program and establish procedures consistent with this Policy.

5.0 PRINCIPLES

Capital Budget Classifications

- a) Each capital project shall be classified as:
 - i. Lifecycle Renewal;
 - ii. Growth; or,
 - iii. Service Improvement

Capital Budget Financing

- a) The following guidelines be used when determining the funding mix for each capital budget classification:
 - a. Lifecycle Renewal

- i. The funding options for Lifecycle Renewal capital budgets shall be allocated in the following 'priority order':

Non Tax/Rate Supported

- A. Eligible non-tax funding sources such as senior government funding.

Tax/Rate Supported

- B. Capital levy.
- C. Eligible reserve funds, subject to adequate balances as determined by the City Treasurer or designate.
- D. Debt financing for Lifecycle Renewal capital budgets shall only be authorized after all other funding options have been applied and exhausted, noting that the objective is to phase out debt financing from this classification.

Growth

- ii. The funding options for the non-growth component of the Growth capital budgets, as determined by the Development Charges Background Study, shall be allocated in the following 'priority order':

Non Tax/Rate Supported

- A. Eligible non-tax funding sources such as senior government funding, provided that non-tax funding sources are used first to reduce the total expenditure before the growth/non-growth funding splits are applied.

Tax/Rate Supported

- B. Capital Levy after consideration is first given to Lifecycle Renewal capital budgets.
- C. Eligible reserve funds, subject to adequate balances as determined by the City Treasurer or designate.
- D. Debt financing, provided that all other funding sources are exhausted.

- iii. The funding options for the growth component of the Growth capital budgets, as determined by the Development Charges Background Study, shall be funded from development charges supported funding sources, such as but not limited to eligible restricted reserve funds and debt financing.

Service Improvement

- iv. The funding options for Service Improvement capital budgets shall be allocated in the following 'priority order':

Non Tax/Rate Supported

- A. Eligible non-tax funding sources such as senior government funding.

Tax/Rate Supported

- A. Capital Levy after consideration is first given to Lifecycle Renewal capital budgets.
- B. Eligible reserve funds, subject to adequate balances as determined by the City Treasurer or designate.
- C. Debt financing, provided that all other funding sources are exhausted.
- D. The City Treasurer or designate shall have the authority to set and adjust administrative capital financing targets that support the general guidelines identified above.

Capital Budget Development

- a) The capital budget shall be developed in accordance with the following guidelines:
 - 1. A rolling ten (10) year capital plan shall be developed and maintained.
 - 2. The expenditure for each capital project shall be budgeted in the year spending is reasonably anticipated to occur.

3. The budget for capital projects shall include all reasonably known or anticipated costs each year the budget is requested, including but not limited to the impacts of inflation and non-refundable HST and a reasonable contingency.
4. New capital budget funding requests that are introduced outside of the budget process shall be referred to the next budget cycle unless the request is directed to be brought forward by Municipal Council or is deemed urgent by the City Treasurer.
5. New capital budget requests that meet the criteria noted above, shall include a recommended source of financing as deemed appropriate by the City Treasurer or designate.
6. Debt financing shall be applied in accordance with the Council approved Debt Management Policy.

Capital Budget Monitoring and Close Out

- a) The City Treasurer or designate may close out of capital project accounts that are greater than three (3) years old calculated from the budget year the capital project was initially approved by Municipal Council.
- b) The City Treasurer or designate shall allocate the net disposition of surplus funding for all closed capital projects as follows:
 - iv. Capital levy surplus shall be transferred to the capital receipts account to be used as a potential funding source for unfunded capital requests and that Water and Wastewater & Treatment rates be returned to the appropriate reserve fund.
 - v. The City Treasurer or designate shall review the balance of the reserve fund which originally funded the capital project and shall determine if funding is allocated back to the respective reserve fund or allocated to the capital receipts account to be used as a potential funding source for unfunded capital requests.
 - vi. Debt financing shall be released resulting in a reduction of authorized debt.
- c) If during the capital budget monitoring process it is determined that a capital project will be significantly over budget, a separate report and associated source of financing shall be brought forward for Municipal Council approval or be brought forward during the multi-year budget process, including annual budget updates.
- d) Civic Administration shall submit two monitoring reports to Municipal Council which will be known as the Mid-Year Monitoring Report and Year-End Monitoring Report and shall include:
 - i. A summary of the life-to-date capital budget.
 - ii. A listing of capital projects to be closed, including an explanation of capital projects with a variance greater than \$50,000, noting that capital projects with a variance to budget of less than \$1,000 shall be reported in aggregate only.

New Policy Rationale:

The purpose of the Capital Budget and Financing Policy is to ensure the following:

- Capital investments are budgeted and monitored with a consistent approach;
- The capital budget is financed in a manner that ensures a funding mix that places a priority on maintaining the long-term financial sustainability of the City; and

- Guidelines are established for closing out capital projects.

The guiding principles contained in the policy are outlined below.

1. Capital Budget Classifications

The City's practice has been to categorize the capital budget into three separate and distinct classifications. Grouping capital projects into clearly defined classifications provides Civic Administration, Municipal Council, and the community with a general understanding of where capital investments are allocated. The policy states that each capital project should be classified as either:

- Lifecycle Renewal – Capital projects contained within this category should address rehabilitation or renewal of existing infrastructure due to obsolescence, health and safety concerns, or general deterioration of assets related to use or age. Examples of capital projects included in Lifecycle Renewal are roadway rehabilitation and vehicle replacements.
- Growth – Capital projects contained within this category should service growth and must be included in the Development Charges Background Study, as amended from time to time.
- Service Improvement – Capital projects contained within this category should provide a new or expanded level of service to the community or enhance the operational service area. For example, investments into new and emerging technologies would be classified as Service Improvement.

2. Capital Budget Financing

The policy provides general guidelines to be used when determining the funding mix for each capital budget classification. This is important to ensure that the sources of financing are applied in a manner that best matches the capital expenditure with the appropriate funding source.

The following general guidelines, 'listed in priority order', are recommended to be followed when allocating funding to each of the capital budget classifications.

Lifecycle Renewal

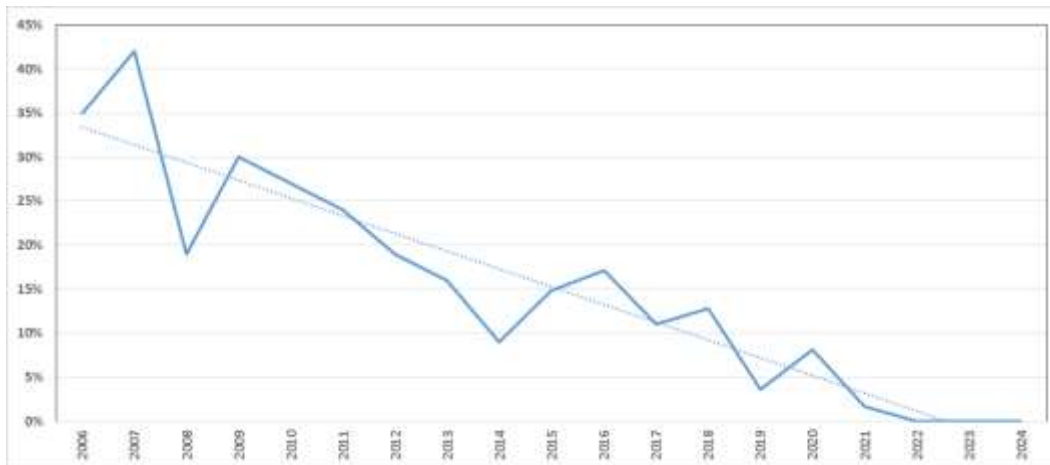
Non Tax/Rate Supported

- a) OTHER FUNDING - The first funding source that should be applied is eligible non-tax funding sources such as senior government funding. This funding source is the most beneficial to the City and should be applied first where possible.

Tax/Rate Supported

- b) CAPITAL LEVY/RATES – The second funding source that should be applied is capital levy/rates, also referred to as pay-as-you-go financing. An administrative target ranging from 40% - 90% of capital levy/rates should be allocated to the tax/rate supported component of the Lifecycle Renewal capital budgets, noting that Civic Administration is working to increase capital levy/rates to 55% by 2022.
- c) RESERVE FUNDS – The third funding source that should be applied is eligible reserve funds, subject to adequate balances as determined by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate.
- d) DEBT - Debt financing is generally not recommended to finance Lifecycle Renewal capital projects since this classification is to maintain existing infrastructure. Civic Administration is transitioning away from the use of debt for Lifecycle Renewal and is targeting debt financing to be eliminated by 2022 (Figure 1).

Figure 1 - Debt Financing as a % of Lifecycle Capital Budget (Property Tax Supported)



Growth

The Development Charges Background Study as amended from time to time, defines the non-growth component and growth component of capital projects. The funding strategy for each of these components is as follows:

Non Tax/Rate Supported

- a) OTHER FUNDING - The first funding source that should be applied is eligible non-tax funding sources such as senior government funding. Although this funding source is beneficial to the City, non-tax funding sources must first be used to reduce the total financing required before the growth/non-growth funding splits are applied (i.e. non-tax funding sources cannot be used to only fund the non-growth component).

Non-Growth Component

Tax/Rate Supported

- b) CAPITAL LEVY/RATES – The second funding source that should be applied is capital levy/rates, but only after consideration is first given to Lifecycle Renewal budgets.
- c) RESERVE FUNDS – The third funding source that should be applied is eligible reserve funds, subject to adequate balances as determined by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate.
- d) DEBT - Debt financing is the last funding source, but should only be used after all other funding sources are exhausted since the use of debt is a more costly funding option due to interest that must be paid on borrowed funds.

Growth Component

- e) DEVELOPMENT CHARGES - The levies collected from development charges are used to fund the growth component of capital projects. As a result, development charges supported funding sources, such as but not limited to eligible restricted reserve funds and debt financing are the only funding sources that should be used.

Service Improvement

Non Tax/Rate Supported

- a) OTHER FUNDING - The first funding source that should be applied is eligible non-tax funding sources such as senior government funding. This funding source is the most beneficial to the City and should be applied first where possible.

Tax/Rate Supported

- b) CAPITAL LEVY/RATES – The second funding source that should be applied is capital levy/rates, but only after consideration is first given to Lifecycle Renewal budgets.
- c) RESERVE FUNDS - The third funding source that should be applied is eligible reserve funds, subject to adequate balances as determined by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate.
- d) DEBT - Debt financing is the last funding source, but should only be used after all other funding sources are exhausted since the use of debt is a more costly funding option due to interest that must be paid on borrowed funds.

Administrative Targets

In addition, the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate should have the authority to set and adjust administrative capital financing targets that support the general guidelines identified above. Current administrative financing targets are broken down into budget classification (i.e. Lifecycle Renewal, Growth, and Service

Improvement).

Lifecycle Renewal projects are funded primarily by capital levy/rates. Reserve funds can be used if they are eligible, subject to an adequate balance. Debt is generally not recommended, however there may be times when debt financing is appropriate to finance Lifecycle Renewal capital expenditure requirements.

Lifecycle Renewal –Tax/Rate Supported Targets (excl. non-tax/rate funding) ⁽¹⁾

Capital Levy/Rates	40% - 90%
Reserve Fund	40% - 10%
Debt	20% - 0%

(1) Targets apply to the tax/rate supported component only. Non-tax/rate funding (e.g. Federal gas tax, one-time senior government funding) fluctuates based on project mix and program guidelines, beyond control of Administration.

Growth projects are funded primarily by non-tax/rate supported development charges (City Services reserve funds). The non-growth component is funded by capital levy/rates, if available, or debt.

Growth – Tax/Rate Supported Targets

Capital Levy/Rates	5% - 0%
Reserve Fund	5% - 0%
Debt	15% - 0%
Non-tax ⁽¹⁾	75% - 100%

(1) Represents the non-tax/rate funding sources such as development charges and senior government funding.

Service Improvement projects have a broad mix of funding. After capital levy/rates and eligible reserve fund financing have been applied, debt financing is used to fund the remaining portion. The use of debt and reserve fund financing may be restricted due to the capital project mix and associated reserve fund eligibility.

Service Improvement – Tax/Rate Supported Targets (excl. non-tax/rate funding) ⁽¹⁾

Capital Levy/Rates	15% - 30%
Reserve Fund	30% - 70%
Debt	55% - 0%

(1) Targets apply to the tax/rate supported component only. Non-tax/rate funding (e.g. Federal gas tax, one-time senior government funding) fluctuates based on project mix and program guidelines, beyond control of Administration.

3. Capital Budget Development

In order to ensure the capital budget is developed in a consistent manner and that all service areas have a clear understanding of the expectations, the following capital budget development guidelines are recommended:

- a) In 2016, Municipal Council approved the City’s first ever multi-year budget covering a four (4) year time period. In addition to the multi-year budget period, an additional six (6) year capital budget forecast was developed and maintained in order to support long-term planning and affordability. The policy recommends that a rolling ten (10) year capital plan be developed and maintained.
- b) In order to ensure that capital budgets are not ‘built-up’ over time to cover large capital expenditures, the policy is recommending that expenditures for each capital project should be budgeted in the year funding is required, noting that Civic Administration will fully incorporate this strategy into the next multi-year budget.
- c) The budget for capital projects should include all reasonably known or anticipated costs each year the budget is requested, including but not limited to the impacts of inflation, non-refundable HST, and a reasonable contingency. This will improve the reliability of the budget estimates contained in the capital plan and reduce the need for Civic Administration to request additional funding.
- d) The policy also addresses how unfunded capital budget requests are managed. If a new capital budget funding request is introduced outside of the multi-year budget process, it

is recommended that it be referred to the next multi-year budget cycle unless:

- i. The request is directed to be brought forward by Municipal Council; or
- ii. The request is deemed urgent by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate.

In addition, the policy states that new capital budget requests must have a source of financing as deemed appropriate by the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate. This will ensure that an appropriate funding source has been developed and included as part of the decision making by Municipal Council.

- e) Debt financing should be applied in accordance with the Council approved Debt Management Policy, which includes strategies for limiting authorized debt such as utilizing an internal debt cap for debt financing in the capital plan. The internal debt cap is currently set at an average of \$26 million over the rolling ten (10) year capital plan.

4. Capital Budget Monitoring and Close Out

Capital budget monitoring, including capital project close out, are essential for expenditure control and for ensuring that funding sources are used and allocated in a manner that best benefits the City. The following guidelines are contained in the policy to set clear expectations for capital budget monitoring and capital project close out.

- a) Once a capital budget is approved by Municipal Council, the expectation is that the work would begin the year in which the budgeted expenditure was identified. The policy is recommending that the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate be authorized to execute the close out of capital projects that are greater than three (3) years old calculated from the budget year the capital project was initially approved by Municipal Council.
- b) Next, the policy recommends that the Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate shall allocate the net disposition of surplus funding for all closed capital projects as follows:
 - i. Capital levy surplus shall be transferred to the capital receipts account; an account that holds unallocated capital levy and can be used as a potential funding source for unfunded capital requests. Water and Wastewater & Treatment rates shall be returned to the appropriate reserve fund.
 - ii. The Managing Director, Corporate Services and City Treasurer, Chief Financial Officer, or designate shall review the balance of the reserve fund which originally funded the capital project and shall determine if funding is allocated back to the respective reserve fund or allocated to the capital receipts account to be used as a potential funding source for unfunded capital requests. While funding may be transferred to the capital receipts account, the first priority for surplus funding is to ensure the reserve fund balances are sufficient to meet anticipated future needs and unforeseen events.
 - iii. Debt financing authorized by Municipal Council, but not issued, shall be released resulting in the City's debt burden and associated debt servicing costs being avoided. The policy recommends that surplus debt financing be released resulting in a reduction of authorized debt. The City has been rated Aaa for 40 consecutive years due to a disciplined approach to debt management by both Civic Administration and Municipal Council.
- c) If during the capital budget monitoring process it is determined that a capital project will be significantly over budget, a separate report and associated source of financing shall be brought forward for Municipal Council approval or be brought forward during the multi-year budget process, including annual budget updates.
- d) In order to provide Municipal Council with sufficient updates on capital budget monitoring and capital project close out, it is recommended that Civic Administration submit two monitoring reports to Municipal Council. This will consist of a Mid-Year Monitoring Report and a Year-End Monitoring Report and should include:
 - i. A summary of the life-to-date budget;
 - ii. A listing of capital projects to be closed, including an explanation of capital projects with a variance greater than \$50,000, noting that capital projects with a variance to budget of less than \$1,000 shall be reported in aggregate only.