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**GO-ITS Number 56.5**

**OPS Grants Management Reference Model**

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Prepared for the Information Technology Standards Council (ITSC) under the delegated authority of the Management Board of Cabinet

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## Table of Contents

<b>1. FOREWORD .....</b>	<b>4</b>
<b>2. INTRODUCTION.....</b>	<b>5</b>
2.1. Background and Purpose .....	5
2.2. Scope .....	5
2.2.1. In Scope .....	5
2.2.2. Out of Scope .....	5
2.3. Applicability Statements .....	6
2.3.1. Organization.....	6
2.4. Requirements Levels .....	6
2.5. Contact Information.....	7
2.5.1. Roles and Responsibilities.....	7
2.6. Recommended Versioning and/or Change Management.....	9
2.7. Publication Details .....	9
<b>3. TECHNICAL STANDARDS AND SPECIFICATIONS.....</b>	<b>10</b>
3.1. Purpose of Grants management Reference Model (see Appendix A) .....	10
3.2. Focus.....	10
<b>4. RELATED STANDARDS.....</b>	<b>10</b>
4.1. Impacts to Existing Standards .....	10

# 1. Foreword

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

## 2. Introduction

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### 2.1. Background and Purpose

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

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

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

### 2.2. Scope

#### 2.2.1. In Scope

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

#### 2.2.2. Out of Scope

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

## 2.3. Applicability Statements

### 2.3.1. Organization

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

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

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

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

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

## 2.4. Requirements Levels

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

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

## 2.5. Contact Information

### 2.5.1. Roles and Responsibilities

#### **Accountable Role Definition**

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

#### **Accountable Role:**

Head, Corporate Architecture Branch (CAB), Office of the Corporate Chief Strategist (OCCS), Ministry of Government Services (MGS)

#### **Responsible Role Definition**

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

#### **Responsible Organizations:**

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

#### **Support Role Definition**

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

#### **Support Role (Editor):**

Ministry/Cluster: Ministry of Government Services

Division: OCCS

Branch: CAB

Job Title: Senior Business Architect

Name: Dean Pigeon

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#### **2<sup>nd</sup> Support Role:**

Ministry/Cluster: Community Services Cluster

Division: Information Management and Planning

Branch: Planning and Architecture

Job Title: Enterprise Business Architect

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Email: luciano.coschino@ontario.ca

**Consulted**

Please indicate who was consulted as part of the development of this standard. Include individuals (by role and organization) and committees, councils and/or working groups.  
 (Note: consulted means those whose opinions are sought, generally characterized by two-way communications such as workshops):

Organization Consulted (Ministry/Cluster)	Division	Branch	Date
MGS	OCCS	CAB	2010-12
MCI	Regional and Corporate Services Division	RSB/Regional Support Services Unit	2009
MOR	Operations - Client Accounts and Services	Benefits and Tax Related Programs	2009

Committee/Working Group Consulted	Date
Business Architecture Domain Working Group (BADWG)	2009
Community Services Cluster (CSC) – Cluster ACT	2009
Solutions Delivery Leadership Committee (SDLC)	2009-06-03
Health Services Cluster (HSC) – Cluster Reps.	2010-11
Architecture Core Team (ACT)	2010-12-16
Architecture Review Board (ARB)	2009-06-18
Information Architecture Domain Working Group (IADWG)	2010-11

**Informed**

Please indicate who was informed during the development of this standard. Include individuals (by role and organization) and committees, councils and/or working groups.  
 (Note: informed means those who are kept up-to-date on progress, generally characterized by one-way communication such as presentations):

Organization Informed (Ministry/Cluster)	Division	Branch	Date



## 2.6. Recommended Versioning and/or Change Management

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

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

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

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

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

Below are guidelines for differentiating between minor and major changes:

### Major:

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

### Minor:

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

## 2.7. Publication Details

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

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

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

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

#### 3.2. Focus

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

#### Mandatory Sections of the Standard

##### What is covered?

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

##### What is not covered?

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

### 4. Related Standards

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#### 4.1. Impacts to Existing Standards

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

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