ESSENTIAL UPDATES

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Essential Updates: Tri-Agencies

Recent Program launch:

- New Frontiers in Research Fund:
    1. Exploration (first round now closed)
    2. Transition
    3. International
- High Risk, High Reward, Feasibility
- **Direct and Indirect Costs**

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Essential Updates: Tri-Agencies

On the Horizon:

- **Grants Management System**

- **Tri-Agency Financial Administration Guide renewal: Principles-Based Approach**
  - **Greater reliance on Institutional policies**
  - **Relationship to the PI's research**
  - **Program Considerations**
  - **More Details: Donna and Alpi**

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Tri-Agency Annual Financial Reporting (aka Form 300)

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Tri-Agency Reporting Expectations

- CIHR, NSERC, SSHRC, CRC & NCE requires submission of a signed FORM 300 (aka Statement of Account) for every grant for the period ending March 31 of each year.

- Final submission date by the institution – June 30th

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University of Toronto's Reporting Process

- Beginning of April:

  - ROCO electronically generates a SOA (Form 300) for each grant. The forms report financial activity for the period of April 1 – March 31 in any given year.

  - One copy of "Summary" page of Form 300 / SOA and One copy of "Detail" of expenses is generated

  - Hard copies are mailed to Faculty / Department Finance Officers (if you do not receive yours by April 30, please contact our office)

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U of T's Reporting Process

ROCO requests that the PIs and Financial/Business Officers

- REVIEW for accuracy

- ADJUST if necessary – e.g. deficit balance/need for accrual of expenses (We do not encourage accruals unless it is final year of grant)

- SIGN and PRINT NAME – both MUST sign Form 300

- RETAIN – 1 signed copy of Summary + Detail in the Dept

- RETURN – 1 signed copy of Summary to ROCO for submission to CIHR, NSERC, SSHRC, CRC or NCE

   (Please submit to ROCO no later than May 17th 2019)

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Renewal of Tri-Agency Post- Award Financial Administration

Progress Update – CARA Ontario
16 November 2017

Award Administration – A Shared Accountability

Recipients

- Provide authorization
- Sound management of public funds; best value
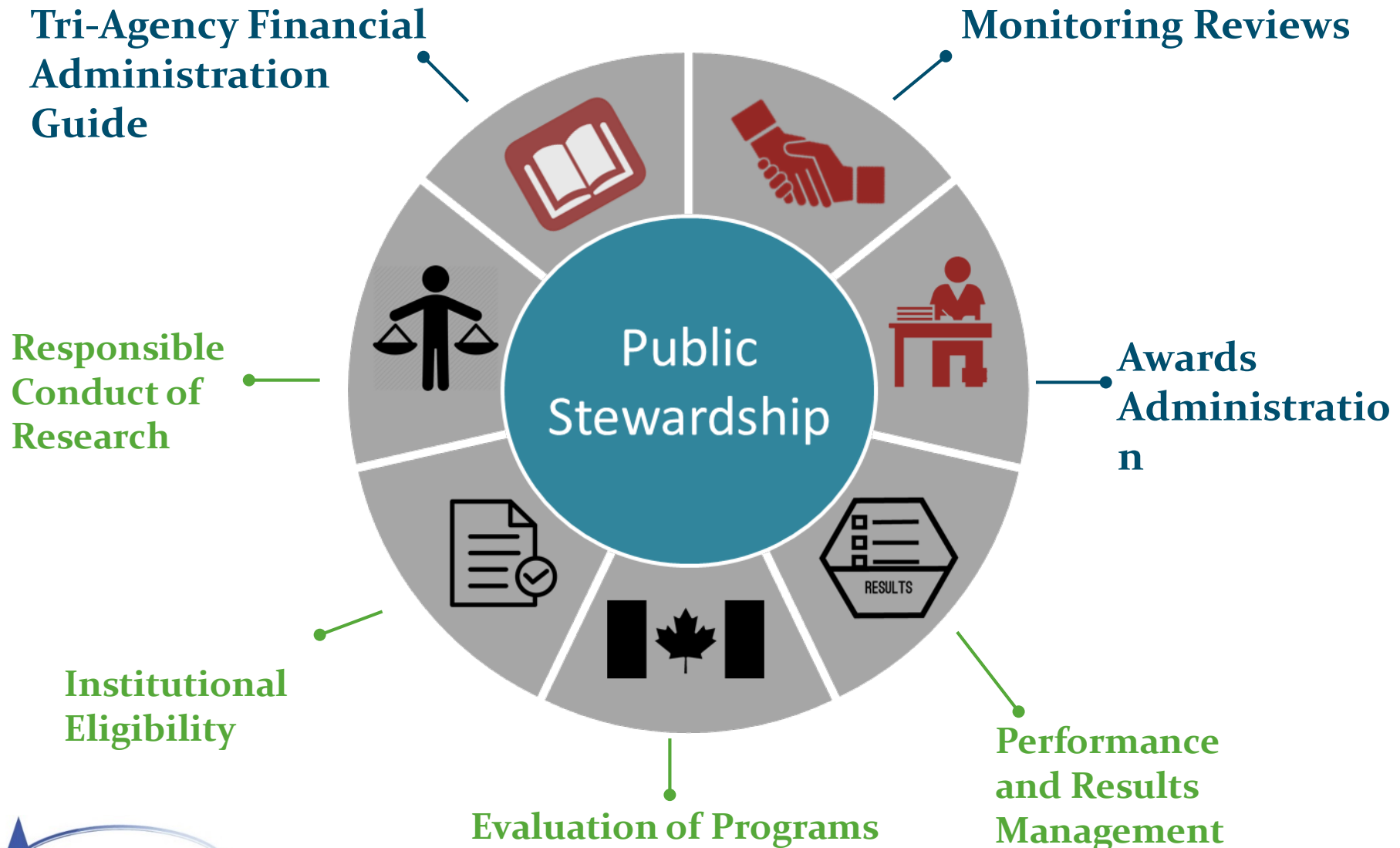- Expense ownership and justification
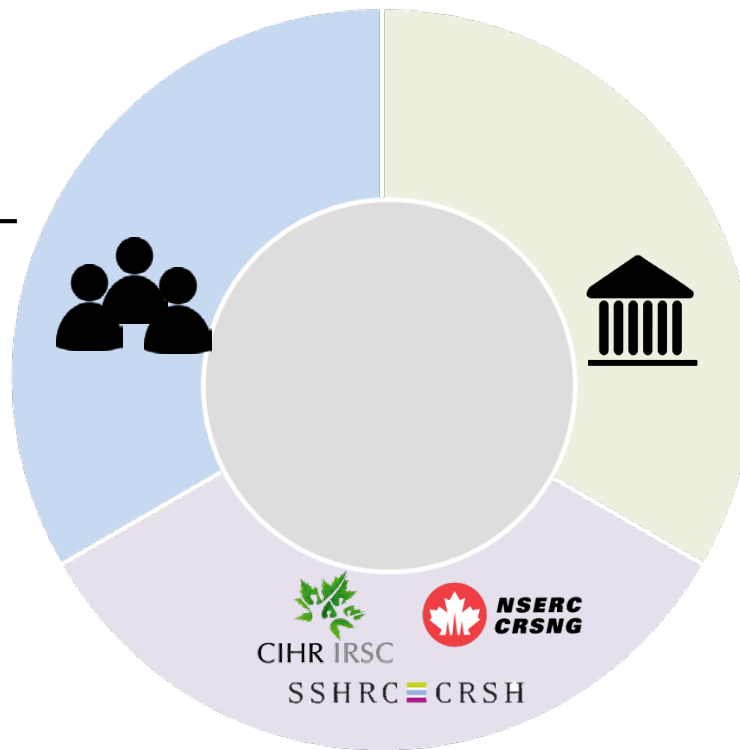
Institutions

- Apply guidelines and policies
- Establish sound controls
- Respond to recipient queries
- Prepare annual reports
- Maintain eligibility status
- Adhere to Institutional Agreement (IA)

Agencies

- Release of payments
- Administration guidelines and policies
- Respond to questions/provide support
- Monitoring visits; Review of Form 300's
- Ensure transfer payment policy is adhered to
- Ensure T&C's are adhered to
- Determine eligibility status
- Administer and review Institutional Agreement

March 2019

Areas of Focus for Renewal Initiative

Tri-Agency Financial Administration Guide

Monitoring Reviews

Responsible Conduct of Research

Awards Administration

Institutional Eligibility

Performance and Results Management

Evaluation of Programs

Public Stewardship

March 2019

Objectives of Renewal

Focus on a client-centric approach

Reduce burden (Institutions & Recipients)

Increase automation

Increase efficiencies

Enhance clarity of guidance from agencies

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Tri-Agency Financial Administration Guide

Public Stewardship

Focusing on a Principle-based approach:

✓ Streamline and simplify;

✓ Accountability;

✓ Balance between control and flexibility;

✓ Existing institutions policies, processes and controls

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New Table of Contents

Part 1: About this Guide

Part 2: General Administration

Part 3: Financial Matters

Part 4: Use of Grant Funds

    4.1 Principles

    4.2 Directives

Area of focus

Part 5: Provisions for Leaves from Grant Activities

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Use of Grants Funds

Principles

- Appropriate Use of Agency Grant Funds
- Authority to Use of Grant Funds
- Reporting and Supporting Evidence
- Oversight of the Use of Grant Funds

Guidelines

- Employment and Compensation Expenses
- Goods and Services Expenses
- Travel and Subsistence Expenses
- Hospitality Expenses
- Gifts, Honoraria and Incentives

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Training

To ensure continuous support for Recipients and Institutions

To clarify roles and responsibilities

Creation of training material
- Video for Recipients
- Video for Institutions

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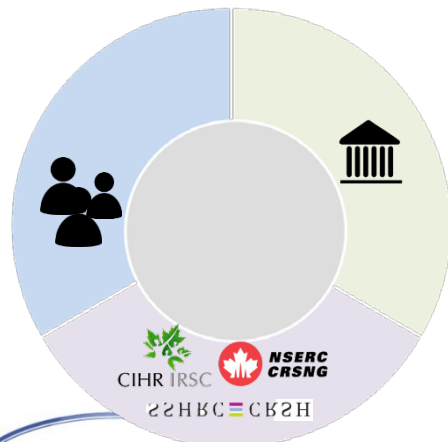
Focus Area 2: Awards Administration

Awards Administration

- ❑ Improve service standards
- ❑ Address areas of debate
  - ▪ Direct vs. indirect costs
  - ▪ Consider materiality of expenditures
  - ▪ Reporting requirements
- ▪ Review Tri-Agency forms
  - ▪ Tri-agency standardized form

March 2019

Focus Area 3: Monitoring Approach

Agencies are suspending their financial monitoring reviews and follow-up exercises until July 2018. The Agencies feel that monitoring based on a Guide that will be substantially changed would not be beneficial to either the Agencies or the administering institutions.

Monitoring Reviews

Public Stewardship

On Hold Until July 2018

❑ Increase focus on controls
- Consideration of materiality & risk

❑ Risk-based reviews

❑ Enhanced dialogue with the institutions; increased visibility of agencies

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Communication

Tri-Agencies are committed to keeping the administering institution community informed of the progress and impacts of this initiative.

New web page dedicated to the Renewal of the Tri-Agency Financial Administration:

http://www.science.gc.ca/eic/site/063.nsf/eng/h_97415.html

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Current Update

- The TriAgencies are currently conducting a pilot study with 10 institutions across Canada representing all types of institutions – eg small, large, centralized structure, decentralized structure, hospitals

- They are working with these institutions to implement the Principle Based Approach specifically addressing current policy gaps – between institutional policy and the Principle Based Approach

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Current Update

- Current plans are to role this approach out to remaining institutions April 1, 2019 at which time each institution will be expected to evaluate their current policies with that of the Principle Based Approach and deal with any discrepancies

- The TriAgency is working with both CARA & CAUBO to ensure the transition runs as smooth as possible.

- Further details with respect to the implementation of the Principle Based Approach at U of T will be shared once our implementation strategy is developed

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