

FST Round Table Meeting



Thursday, June 15, 2023 (MS Teams)
9:30AM to 11:00AM

Housekeeping Items



Turn camera on,
if possible



Mute your
microphones
when you are not
speaking



Use the “Raise
Hand” feature if
you would like to
speak



Use chat for
questions and
comments

Agenda

- ☐ Welcome
- ☐ RFMS Staff Announcement
- ☐ Call for Topics Updates
- ☐ Policy Updates
- ☐ Sponsor Audit Updates
- ☐ Payroll Adjustments
- ☐ Identifying US Federal Grants
- ☐ Compliance Matters
- ☐ Questions/Comments

RFMS Staff Announcement

Name	Role	Team	Effective Date
Lamia Tasnim	Compliance Administrator	Audit Support	12-Jun-2023



Call for Topics - Update

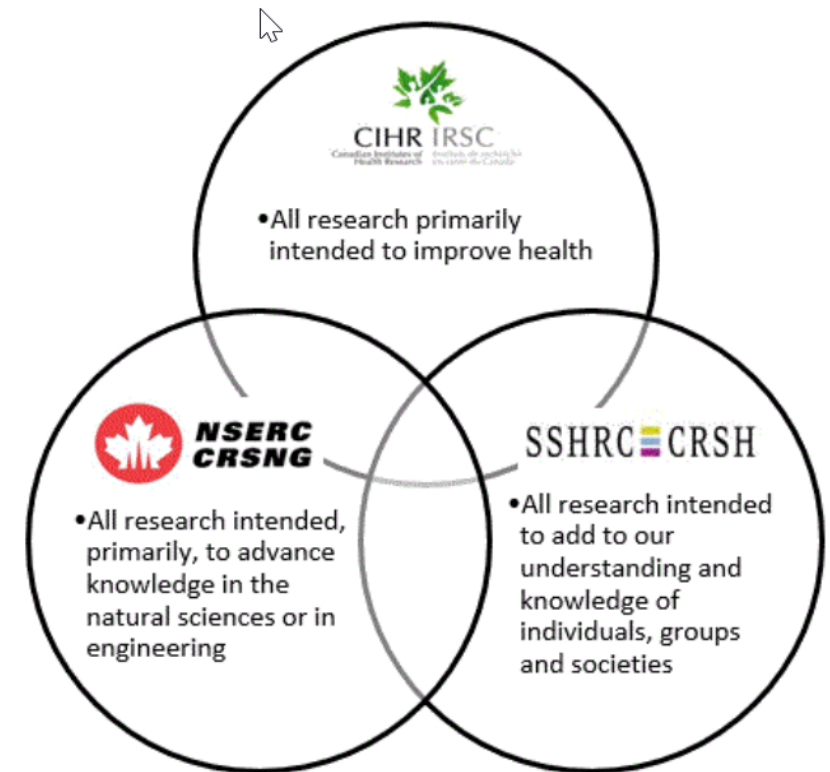
Requested Topic	Requesting Faculty	Subject Matter Expert	Update
Case studies on when to use the different methods of payment (<i>e.g. ADV/EXR, POs, payment requests, PCard, central PCard etc.</i>)	Arts	Procurement & Transaction Services	FSTs to provide sample cases
Updates on MMP changes (<i>adding new vendors, canceling POs directly through MMP, etc.</i>)	Engineering	Procurement Services	Future 2023 session
Sabbatical leaves	Agriculture	RFMS	Future 2023 session
Add to policy - one-up signatures for visitors	Agriculture	RFMS/ Transaction Services	Policy updated
Clarify what/why/when McGill can give gifts	Agriculture	Transaction Services	Policy update in progress
PCard – registration fees for virtual conferences	All	Transaction Services	In progress

Policy Update – Expense Report

- ❑ Section **PR5.5. Reimbursements to Visitors** effective **May 23, 2023**:
 - ❑ For **research grants and contracts**, expense reports payable to **visitors** must be **countersigned/approved by the Dean or Chair**.
- ❑ Expense Reimbursement Policy:
<https://www.mcgill.ca/financialservices/travel/procedures>
- ❖ *For policy questions, please contact Transaction Services through the Finance Service Desk Portal:*
<https://hrservicedesk.mcgill.ca/servicedesk/customer/portal/12/user/login?destination=portal%2F12>

Sponsor Audit Update

- ❑ **Revised Tri-Agency Financial Monitoring Framework:**
 - ❑ Started in summer 2022 where McGill was a pilot participant
 - ❑ Requirements provided by were answered through 2 documents:
 - Internal Controls Assessment Questionnaire
 - ✓ Roles and Responsibilities
 - ✓ Internal Policies and Processes
 - ✓ Chart of Accounts
 - ✓ Supporting Documentation
 - ✓ Expenditure Approval Process (including institutional oversight)
 - ✓ Availability of Financial Information
 - ✓ Annual Statement of Account
 - Financial Viability Assessment
 - ❑ **Result: Pass - McGill meets the Tri-Agencies' financial control requirements**



Sponsor Audit Update

- ❑ **European Union (EU) Commission Audit:**
 - ❑ 100% review
 - ❑ Completed on 31-May-2023
 - ❑ **Result: Pass (no findings)**
- ❑ Upcoming Audits (June – September):
 - ❑ **Health Canada**
 - ❑ **US Federal Grants - Uniform Guidance Audit**
- ❑ How you can help:
 - ❑ Provide documentation, and
 - ❑ Information where required



Payroll Adjustments

❑ Some FY23 statistics:

Fund Type	No. of PAs	\$ Amount (Abs)
2F	1,868	\$21.67M
2M	35	\$ 0.26M



❑ Where possible:

- ❑ Allocate expense to proper fund
- ❑ Identify fund(s) to charge at the time of hiring/renewal
- ❑ Process payroll adjustments (PA) affecting current fiscal year transactions only
- ❑ Do not use payroll adjustments to deplete fund balances

Payroll Adjustments

Clearing Charges on Workday Default Funds

- ❑ Where possible:
 - ❑ Adjust only pays posted to the default fund
 - ❑ Avoid prior year charges on US federal grants
 - ❑ Process within current fiscal year

	584<67	586:56	
	XV#Ghsw#i# Z G#Ghidw#		
SD\#SHUIRG	Ghihqv	Ixqg	WR WDO
53550E5057	' 5/443164		' 5/443164
53550E5058	' 5/443164		' 5/443164
53550E5059		' 463159	' 463159
53560E504		' 4641:6	' 4641:6
WR WDO	' 7/553195	' 5941<	' 7/7;5194

PA #		Requestor		Requested Date				Status	
PA011210				17-MAY-2023				Disapproved	
Employee ID	First Name	Last Name	Pay Group	Pay No Start	Pay No End	Pay Date Start	Pay Date End	Position	Gross Pay
			B2	24	1	30-OCT-2022	24-DEC-2022	5600005282	4482.61
Requestor Comments									
Clearing default fund charges. transferring 261.99 from fund 253723 to 246510. no changes are being made to fund 251934.									
FOAPAL			Queue and Description		Level	Status	Approvers	Approval Date	Ledger Amount
1-251934-00249-XXXXXX-2000-000000-000000			7M0U-Non-central queue for fund 251934		20	Approved		17-MAY-2023	4220.62
1-251934-00249-XXXXXX-2000-000000-000000			RFJ-Central queue for FADM RFJ		50	Disapproved		29-MAY-2023	4220.62
Disapproval Reason/Comments									
Cannot approve as per USD guideline, cannot transfer payroll prior year, even if there is no changes to fund....									
FOAPAL			Queue and Description		Level	Status	Approvers	Approval Date	Ledger Amount
1-246510-00249-XXXXXX-2000-000000-000000			7GNE-Non-central queue for fund 246510		20	Approved		17-MAY-2023	261.99
1-246510-00249-XXXXXX-2000-000000-000000			RFA-Central queue for FADM RFA		50	Approved		19-MAY-2023	261.99
Disapproval Reason/Comments									

Identifying US Federal Grants

- ❑ **Fund Title** contains "NIH", "US Army", "US Dept of Defense", "US Dept of Energy", etc.
- ❑ **Fund Type 2** = 2FF1 or 2MF1
- ❑ Banner form **FTMFUND/FGQFNDH**

Oracle Fusion Middleware Forms Services: Open > FTMFUND [Q] - FGQFNDH [Q]

File Edit Options Block Item Record Query Tools Help

Fund Hierarchy FGQFNDH 8.0 (Banner)

Chart of Accounts: 1 Fund: 256681 NIH/Emory U54AG065187

Predecessor Fund: F05432 National Institute Of Health (Nih)

	2FF	United States Research Funds
	2FF1	U.S Federal Government Research
	F05432	National Institute Of Health (Nih)
	256681	NIH/Emory U54AG065187

Oracle Fusion Middleware Forms Services: Open > FTMFUND [Q]

File Edit Options Block Item Record Query Tools Help

McGill Fund Options

Fund C

Header Information

Project Text

Attribute Information [FTMFATA]

Budget Information

Pro-Rata Allocation Information

Fixed Asset Information

I/C, C/S Code Information [FRMFUND]

Document Text [FOATEXT]

Grant Information [FRAGRNT]

View Hierarchy [FGQFNDH]

Cancel

Active Status

Last Activity Date: 06-MAR-0023

NIH/Emory U54AG065187

Title: NIH/Emory U54AG065187

Termination Date: 09-MAR-2023

Next Change Date:

2023

2098

Research Grants (VPRIR)

Predecessor Fund: F05432 National Institute Of Health (Nih)

Financial Manager: 150103301 McPherson, Peter Scott

Unbilled AR Account:

Revenue Account:

Bank:

Cash Receipt Bank Code:

Capitalization Fund Indicator: Cap Different or No Cap

Capitalization Equity Account:

Capitalization Fund:

Multiple Fund Balance Indicator: Fund Type

Restriction Indicator: Temporarily Restricted

Defaults:

Organization: 00462

Program: 2000

Activity: 000000

Location: 000000

☑ Data Entry

☑ Grant Requires Effort Certification

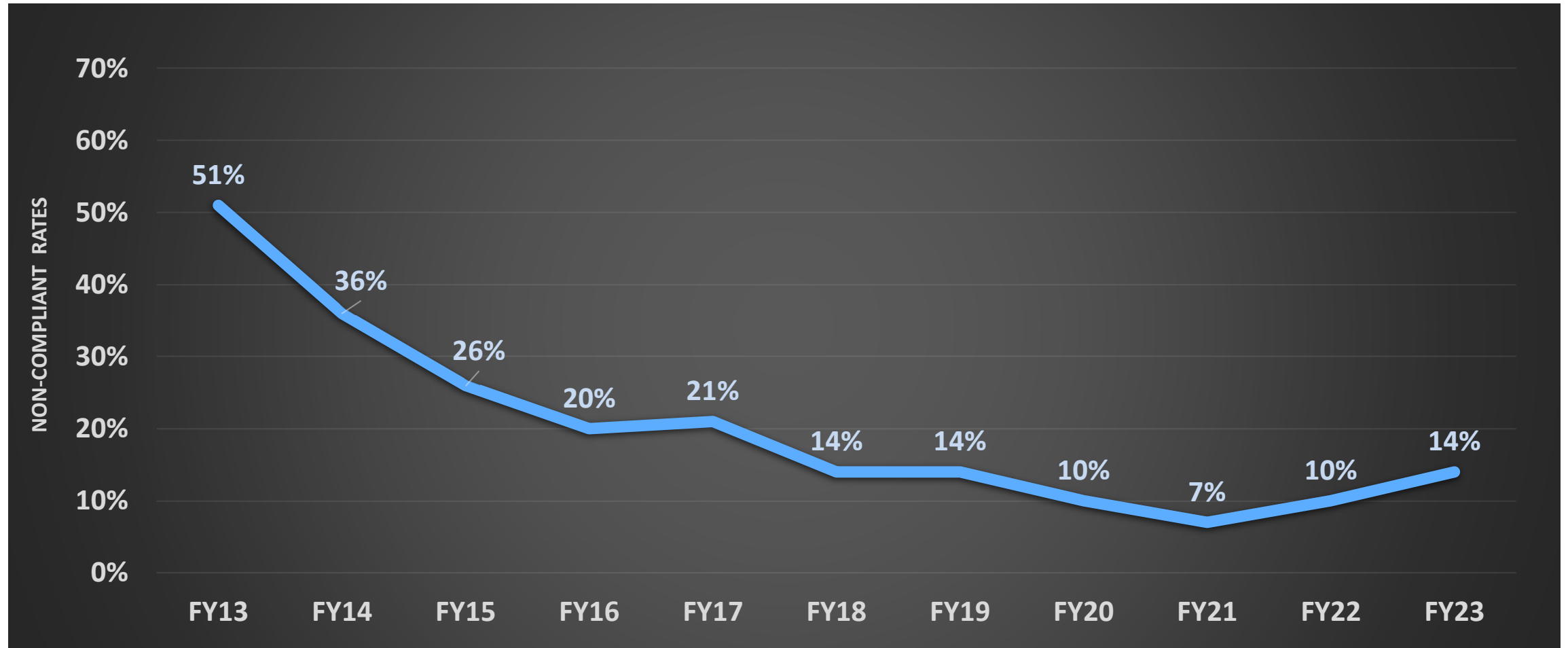
☐ Fund Requires Effort Allocation

Compliance Matters



Compliance Results - Expense Report

(Overall University)



Compliance Findings - Expense Report

Conference Agenda	
Date	
7:00 pm to 9:00 pm	Registration and Reception
Date	
7:30 am to 8:00 am	Continental Breakfast
8:00 am to 10:00 am	Opening Ceremonies Keynote Addresses: Name, Company 1 Name, Company 2
10:00 am to 10:30 am	Break
10:30 am to 12:00 pm	Presentation: Sales and Marketing
12:00 pm to 1:30 pm	Lunch Keynote Address: Name, Company
1:30 pm to 3:00 pm	Presentation: Competition in the Industry
3:00 pm to 3:15 pm	Break
3:15 pm to 4:45 pm	Presentation: Quality Assurance
6:00 pm to 8:00 pm	Evening Reception
Date	
7:30 am to 8:00 am	Continental Breakfast
8:00 am to 10:00 am	Keynote Addresses: Name, Company 1 Name, Company 2
10:00 am to 10:30 am	Break
10:30 am to 12:00 pm	Presentation: Employee Motivation
12:00 pm to 1:30 pm	Lunch Keynote Address: Name, Company
1:30 pm to 3:00 pm	Presentation: Running a Tight Ship and Still Having Fun
3:00 pm to 4:00 pm	Break
4:00 pm to 5:30 pm	Closing Ceremonies

- ☐ Missing conference program/prospectus
- ☐ Missing proof of travel (*e.g. boarding pass*)
- ☐ Missing affiliation
- ☐ Missing invoice and/or detailed receipt
- ☐ Ineligible Expenses
 - ☐ *Meals with lab members*
 - ☐ *Office cleaning supplies*
 - ☐ *Furniture*
 - ☐ *Alcoholic beverage*

Test Your Knowledge - Expense Report

Poll Question (Scenario 1): A PI hosted a 1-day research seminar with an invited guest lecturer from another university. The topic was aligned with the PI's funded FRQ grant. Would you accept the amount of \$110.72, as supported by this receipt, in an FRQ grant?

A. Yes

B. No

NO. Boreale & Belle Gueule are both beers and cannot be charged to an FRQ grant.



Test Your Knowledge - Expense Report

Poll Question (Scenario 2): After the event in the previous scenario, the PI hosted the guest lecturer at a dinner with some of the attendees. This is an allowable expense on an FRQ grant. Would you accept this document by itself as sufficient supporting documentation?

A. Yes

B. No

NO. Alcoholic beverages are inadmissible on FRQ grants. Thus, meal-related expenses must be supported by detailed receipts to ensure no alcoholic was not included.

BUFFET Il Gabbiano 8105
1550, RUE LAPIERRE, LASALLE, QC H8N 2R2
514.364.3214 • BUFFETILGABBIANO@VIDEOTRON.CA • BUFFETILGABBIANO.COM
Division 9074-2701 Québec inc.

Nom: SARAH BOJARD
Adresse: 3801 UNIVERSITY
Ville: MTL Code Postal: H3A 2B4
Téléphone: 514 839-4845 Fax: _____
Numéro de dépôt: 6603 Montant du dépôt: \$ _____
Date de l'événement: OCT 21, 2022 Nombre d'invités: 25
Prix par personne: \$ _____ Montant réception: \$ _____

Location de salle \$ _____
Heures extra \$ _____
Location d'équipement _____
Transport buffet extérieur _____
Buffet intérieur _____
Buffet extérieur _____

SERVICE DE BAR
Montant de réception _____
Réception avec bar _____
Réception sans bar _____
Bar _____

T.P.S. 14284710
T.V.Q 1022152048

Signature du client _____
Signature du gérant _____

BLI-215

buffet IL GABBIANO
1550 RUE LAPIERRE
LASALLE, QC, H8N 2R2
5143643214

TERM # 10008999
NUM DE RECU 004847
REF HOTE # 0004518
SEQ HOTE # 1004667

CARTE *****3012
CREDIT/MASTERCARD K
2022/10/26 14:15:09

ACHAT
TOTAL \$1080.77

AUTO: 29141E L: 0061
HTS: 20221026141518
OPERATION
APPROUVEE 000
COPIE CLIENT

Total Taxable: \$ _____
T.P.S.: \$ _____
T.V.Q.: \$ _____
Sous-total: \$ _____

Total Taxable: \$ 940.00
T.P.S.: \$ 47.00
T.V.Q.: \$ 93.77

Sous-total: \$ 1080.77
Moins montant du dépôt: \$ _____
Solde à payer: \$ 1080.77
Payé en total le: \$ 10 / 21 / 22
mois jour

blanc-copie bureau • jaune-copie client • rose-copie administration

Test Your Knowledge - Expense Report

Open Discussion: This was a 3rd party reimbursement for a virtual event that was charged to a research grant. The only expense claimed was the conference registration.

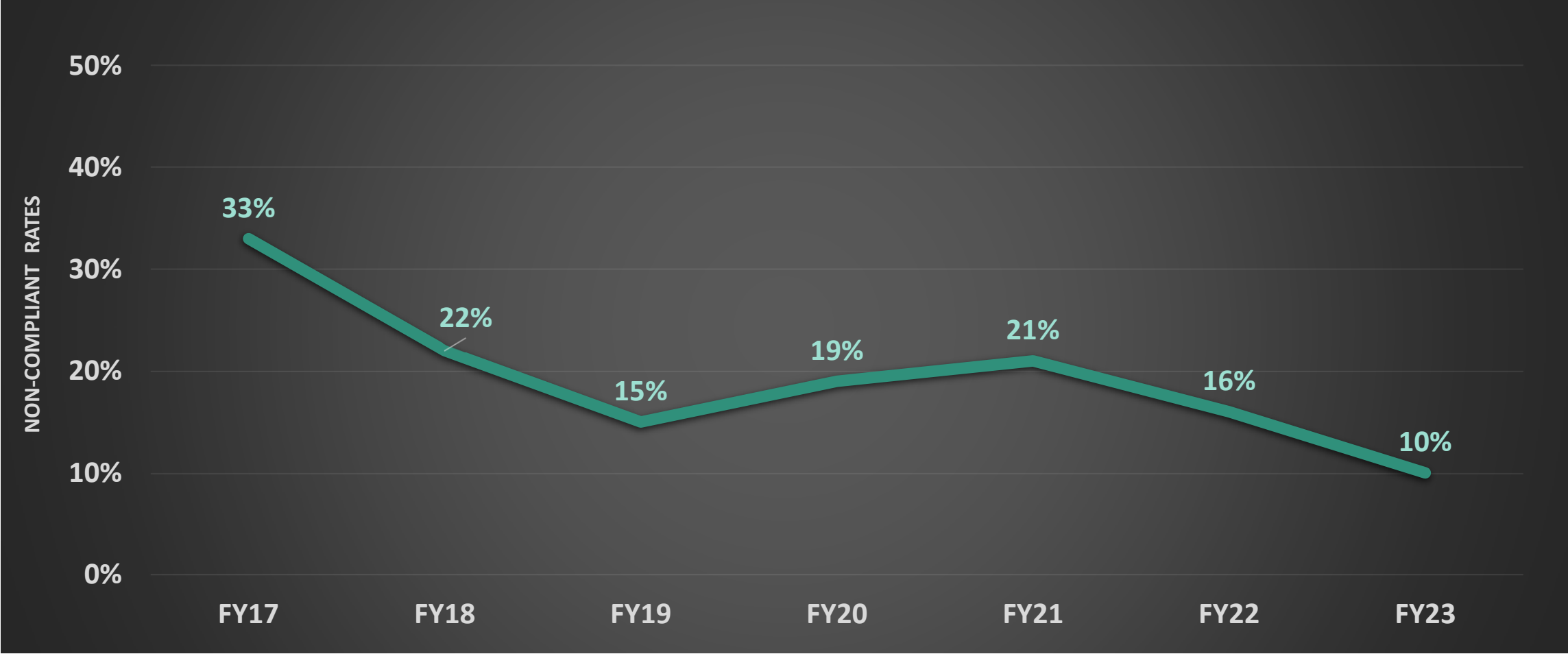
- A. At a glance, what is missing from this claim?
- B. Would you require proof of travel?
- C. Would you require a conference program?

- A. The claimant's affiliation to the PI's research
- B. No. This was a virtual event.
- C. Yes. A conference program is required regardless whether attendance is virtual or in person

Request for Expense Reimbursement Reference # 01083824								
Paid to								
McGill ID	Name	Address	Phone #	E-Mail				
	Burnazovic/Emina							
Responsible McGill Person								
McGill ID	Name	Address	Phone #	E-Mail				
Payment Information								
Request date	Destination City	Start Date	Return Date	Purpose				
10-Jan-2023	Toronto	16-Nov-2022	19-Nov-2022	Other Personal Reimbursements				
Family Medicine Forum 2022 Conference								
Payment Details								
Family Medicine Forum 2022 Conference								
Claimant Affiliation								
Participant								
Requested by								
McGill ID	Name	Departmental address	Phone #	E-Mail				
Summary of Expenses								
Item #	Trans. date	Description	Trans. Amount \$	Non-McGill Expense	Allowable Expenses	Curr.	Exch. Rate	Expenses CAD \$
1	14-Jul-2022	Conference/Registration: Registration to virtual conference	114.98	.00	114.98	CAD	1	114.98
Total of Supplies/Subject fees/Misc.								114.98
Grand Total								114.98
Due to Claimant								114.98

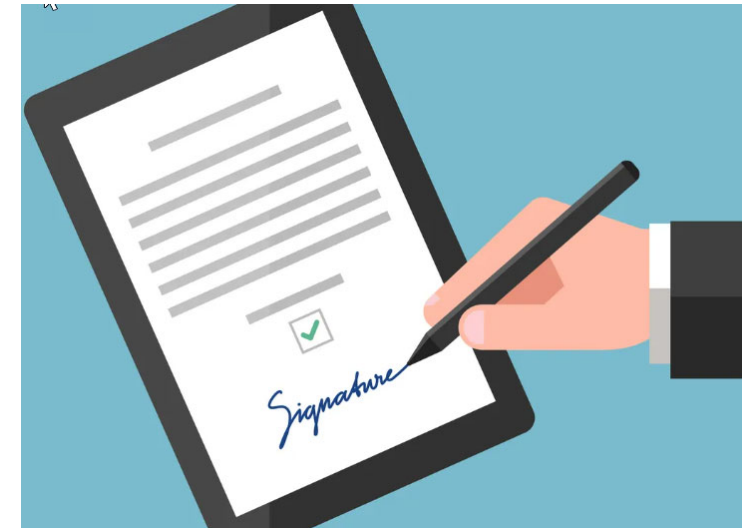
Compliance Results - Payroll

(Overall University)



Compliance Findings - Payroll

- ❑ Missing PI approval of the offer letter
- ❑ Missing offer letter
 - ❑ Ensure to choose “**Offer**” category instead of “Worker documents – employment” when uploading offer letters to Workday
 - ❑ Ensure to have signed offer letters including **appointment renewals**
 - ❑ For **indefinite** term appointments prior to Workday, **assistance is still required from the departments**
- ❑ No proper costing allocation, to be compliant:
 - ❑ Obtain **PI fund approval prior to fund charge**
 - ❑ Obtain **documented PI** fund approval



Test Your Knowledge - Payroll

Poll Question (Scenario 3): A payroll transaction with details below was selected for review. Would you accept the PI's email approval as shown in the next page?

☐ **2022-B2-17:** 17-Jul-2022 to 06-Aug-2022

Position	Date	Amount	Pay Period	Fund	FFM
Post-doc Researcher	18-Aug-2022	\$2,153.85	2022-B2-17	259109	[REDACTED]/Adrien

A. Yes

B. No

From: Adrien [REDACTED]@mcgill.ca>
Sent: August 29, 2022 12:32 PM
To: [REDACTED]@mcgill.ca>
Cc: [REDACTED]@mila.quebec>
Subject: Re: [REDACTED] - PI Approval - May 1, 2022 to April 30, 2023

I approve the following expense.

Reappointment Business process

[REDACTED]
Postdoctoral Researcher

Dates: May 1st, 2022 – April 30th, 2023

Salary: \$60,000

Hours: 35 hours per week

PI: Adrien [REDACTED]

Funds/Activity: 259109 000000 – 100%

- ❑ A post-doc's pay, **2022-B2-17**, was charged to fund 259109 on **18-Aug-2022**.
- ❑ 2022-B2-17 covered the weeks of: **17-Jul-2022 to 06-Aug-2022**

Test Your Knowledge - Payroll

Poll Question (Scenario 3): A payroll transaction with details below was selected for review. Would you accept the PI's email approval as shown in the next page?

☐ **2022-B2-17:** 17-Jul-2022 to 06-Aug-2022

Position	Date	Amount	Pay Period	Fund	FFM
Post-doc Researcher	18-Aug-2022	\$2,153.85	2022-B2-17	259109	[REDACTED]/Adrien

A. Yes

☒ B. No

NO. The fund was charged on 18-Aug-2022 while the PI's approval was only obtained on 29-Aug-2022.

Other Payroll Matters

- ❑ **Criteria** to ensure research assistants' (RA) **salaries are encumbered**:
 - ❑ Job Profile Code = **AAAR-20000**
 - ❑ Position Title = **Research Assistant** (with no extra characters)

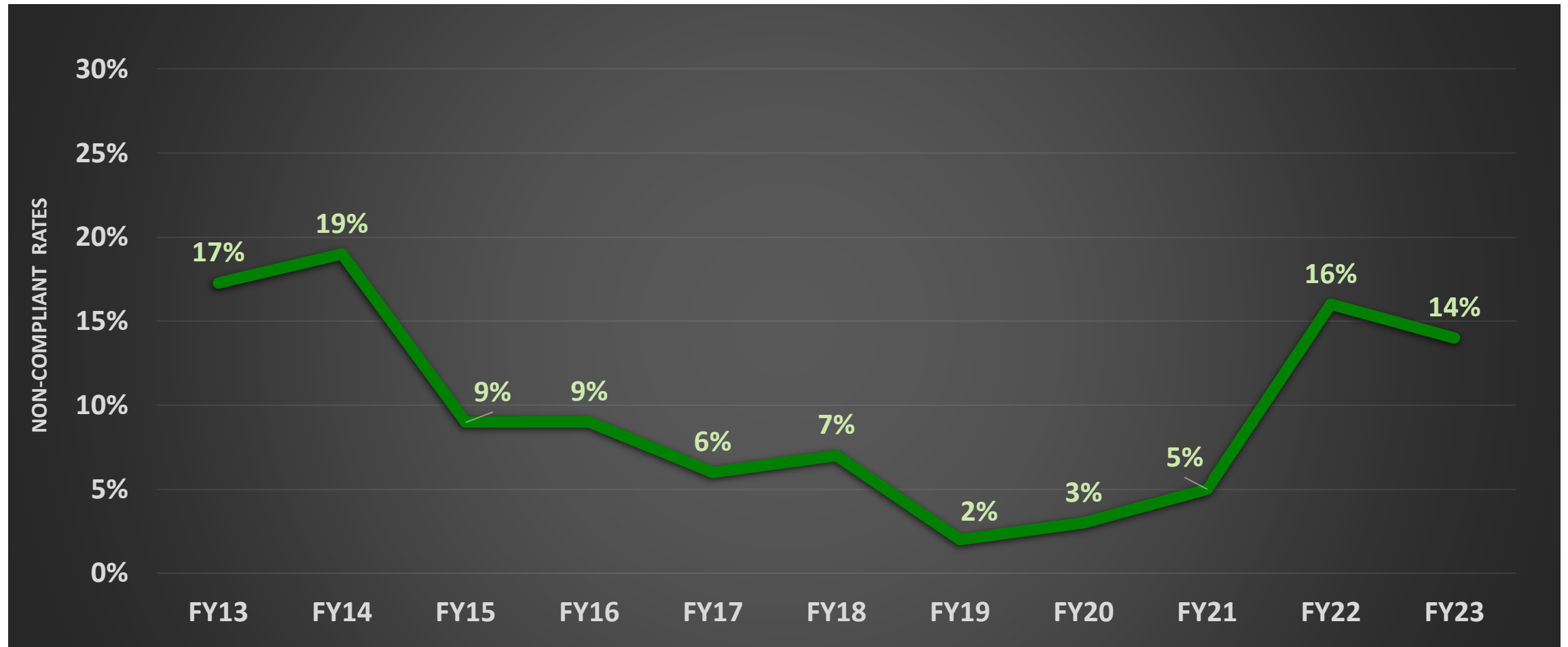
Position Title	Encumbrance Impact	Reason
Research Assistant	Yes	Meets the position title criteria
Research Assistant (Dr. Rodriguez)	No	Extra texts/characters
Casual Research Assistant	No	Extra texts/characters
Research Assistant (Non-Student)	No	Extra texts/characters

Extra characters = no encumbrance



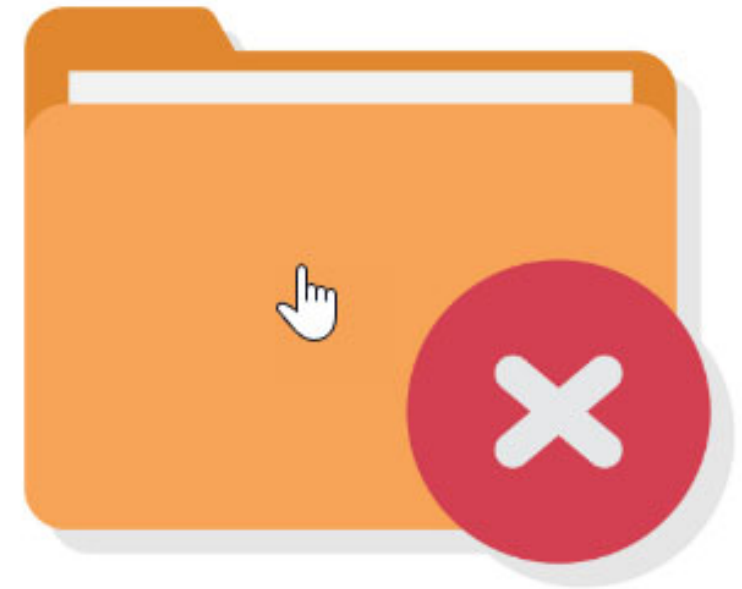
Compliance Results - PCard

(Overall University)



Compliance Findings - PCard

- ❑ No supporting documentation uploaded
- ❑ Reconciler = FFM/delegate
- ❑ Tri-Agency Delegate = admin support role



Test Your Knowledge - PCard

Poll Question (Scenario 4): A PCard transaction incurred on 21-Dec-2022 had no uploaded supporting documentation in Minerva. It was, however, provided by the cardholder when it was selected for review in March 2023. The expense was DNA sequencing deemed admissible on the posted fund. In this scenario, is the transaction compliant?

A. Yes

B. No

NO. Effective September 1, 2021, the PCard Policy mandates that all transactions must be supported by uploading documentation in Minerva. The purpose of requesting a copy of the invoice is to assess expense eligibility.

Test Your Knowledge - PCard

Poll Question (Scenario 5): The PCard policy mandates that there must be segregation of duties in the approval process. In the scenario below, is the transaction compliant?

Vendor	Date	Amount	Reconciler	Approver	FFM
McMaster-Carr	03-Oct-2022	\$160.26	Wagner/Simon	Wagner/Simon	Wagner/Simon

A. Yes

B. No

NO. The PCard Policy mandates that there must be segregation of function. Thus, the reconciler must not be the approver.

Test Your Knowledge - PCard

Poll Question (Scenario 6): The PCard policy mandates that there must be segregation of duties in the approval process. In the scenario below, is the transaction compliant?

Vendor	Date	Amount	Reconciler	Approver	FFM
Amazon.ca	14-Nov-2022	\$110.16	Johnson/Kara	Johnson/Kara	Plant/John

A. Yes

B. No

NO. The PCard Policy mandates that there must be segregation of function. Thus, the reconciler must not be the approver.

Test Your Knowledge - PCard

Poll Question (Scenario 7): The PCard policy mandates that there must be segregation of duties in the approval process. In the scenario below, is the transaction compliant?

- ☐ The transaction was posted to 245689 (CIHR).
- ☐ The delegate approver was the FST Manager.

Vendor	Date	Amount	Reconciler	Approver	FFM
Genome Quebec	30-Jul-2022	\$338.62	Smith/Julie	Harvey/Jane	Sonnenberg/Michael

A. Yes

B. No

NO. Although this scenario meets the segregation of duties requirement, it does not meet Tri-Agency's delegation requirement. A delegate must possess adequate knowledge about the research to authorize expenses.

Questions?





2023 Scheduled Meetings

- ❑ FST/AEC Round Table is scheduled every two months:

Date	Time	Location	Status
Thursday, Feb 23, 2023	9:30am – 11:00am	Virtual MS Team	Completed
Thursday, Apr 20, 2023	9:30am – 11:00am	Virtual MS Team	Completed
Thursday, Jun 15, 2023	9:30am – 11:00am	Virtual MS Team	This session
Thursday, Aug 17, 2023	9:30am – 11:00am	Virtual MS Team	Cancelled
Thursday, Oct 19, 2023	9:30am – 11:00am	TBD	Next Session

- ❑ Schedule is posted on the RAN website: <https://www.mcgill.ca/research/ran-welcome/fst-meetings>

References

Purpose	Website
PCard Regulation	https://www.mcgill.ca/financialservices/policies/pcard
Expense Reimbursement Policy	https://www.mcgill.ca/financialservices/travel/procedures
Tri-Agency Guide on Financial Administration (TAGFA)	https://www.nserc-crsng.gc.ca/interagency-interorganismes/TAFA-AFTO/guide-guide_eng.asp



Contact Us

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Russell Ramoutar	Supervisor (Contracts)	russell.ramoutar@mcgill.ca
Rashim	Supervisor (Compliance)	rashim.rashim@mcgill.ca
Theresa Ewen	Training & Support Officer	theresa.ewen@mcgill.ca

Eligibility Questions: rfmsexpense-eligibility.finserv@mcgill.ca

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