

**Rose Goldstein, MD, CM, FRCPC**

Vice-Principal, Research and  
International Relations  
McGill University  
James Administration Building  
345 Sherbrooke Street West  
Montreal, QC, Canada H3A 0G4

Vice-principale à la recherche et  
aux relations internationales  
Université McGill  
Pavillon de l'administration James  
345, rue Sherbrooke Ouest  
Montréal (QC) Canada H3A 0G4

**Michael Di Grappa**

Vice-Principal, Administration and  
Finance  
McGill University  
James Administration Building  
845 Sherbrooke Street West  
Montreal, QC, Canada H3A 0G4

Vice-principal, administration et  
finances  
Université McGill  
Pavillon de l'administration James  
845, rue Sherbrooke Ouest  
Montréal (QC) Canada H3A 0G4

## MEMORANDUM

**DATE:** December 10, 2015

**TO:** McGill Researchers, Academic Leadership, and Administration Staff

**CC:** Suzanne Fortier, Principal and Vice-Chancellor  
Christopher Manfredi, Provost and Vice-Principal (Academic)

**RE:** Tri-Agency Monitoring – 2016 site visit confirmed and implementation of three (3) new compliance measures

**FROM:** Michael Di Grappa, VP Administration and Finance  
Rose Goldstein, VP Research and International Relations

Dear Colleagues

We have informed you over the last three years of the need to update and strengthen our practices and procedures as they relate to the management of research grants, following recommendations resulting from the 2010 Tri-Agency monitoring visit. We have now received confirmation that we will be undergoing our next monitoring review in February 2016. Tri-Agency will be assessing the effectiveness of institutional control measures by reviewing policies and procedures as well as verifying supporting documentation for transactions that occurred during the 2015 calendar year.

Important changes continue to take place to ensure that Principal Investigators (PIs), or their confirmed Delegate(s), authorize all expenses charged to grants - a critical Tri-Agency requirement. To this effect, the following measures will take effect in December:

**Quarterly Purchase Order-Invoice Variance Report**

PIs will be asked by their department research finance officer to review and authorize quarterly PO-invoice variance reports when invoice payments exceed PO quotes (excludes variances due to shipping, freight, refrigeration, custom fees, taxes).

**Internal Central Services Report**

*(Includes fees resulting from central service providers such as Network and Communications (NCS), Printing Services, Mail/Courier, Parking, Telecommunications, Faculty Club, etc)*

As these types of transactions do not go through an authorization queue that allows us to easily document PI/Delegate approval before they are posted to research funds, department finance officers will seek PI approval on quarterly reports for such expenses when applicable.

**PI/Delegate Approval of Procurement Card (PCard) Reconciliations:**

As was [recently announced](#), PCard transactions reconciled by individuals other than the Fund Financial Manager (FFM)/PI or their Delegate must now be authorized by FFM/PI or Delegate.

As you are aware, local Financial Service Teams (FST) and Administrative Excellence Centres (AEC) play a key role in providing research administration services, guiding PIs through internal policies and procedures as they apply to the management of research funds while also ensuring compliance with the requirements of external sponsors.

We take this opportunity to remind the community that the FSTs and AECs are mandated to review transactions for compliance, completeness, and appropriateness of supporting documentation and authorization. We expect PIs to support the FSTs and AECs by providing the information needed to comply with both internal and external requirements and to meet with them periodically to review monthly financial statements as well as overall standing across all funds. Please draw on their knowledge, by seeking out their input and following their guidance.

We acknowledge that compliance measures take effort on the part of researchers. We are nonetheless confident that we can rely on all faculty members and administrative staff to meet the highest standards of stewardship of grant funds and compliance with Sponsor requirements.

We invite you to contact either of us with any comments or suggestions for improvement.