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# FST ROUND TABLE

September 9, 2015

10:00am to 11:30am

Strathcona Anatomy & Dentistry Building,  
Faculty Council Room M/48

# Agenda

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1. Announcements, Updates & Reminders
2. Compliance Results (Q4 & Annual)
3. Travel Desk – Expense Reports Review
4. Best Practices – Science
5. Open Dialogue / Q & A / Closing Comments

# New FST Members & Staff Announcements

- Faculty of Engineering: New FST Managers
  - Kevin Nzomo
  - Maria Ezahr
- Staff Announcements
  - Natalina Clemente has transferred to the Faculty of Medicine



# Updates

- Roles & Responsibilities Document – Revised
  - Will be uploaded to the [RAN website](#)
- FST Section - Bullet 3:
  - **Attend training sessions** held by Central Administrative units (Research Administration Network, FST Round Table Sessions) to gain the necessary knowledge required to roll out new systems, processes, or other tools which will facilitate research administration and promote compliance with Sponsor requirements and institutional policies and procedures.



**CONFIDENTIAL**

# Reminders

**CONFIDENTIAL**

- Participant payment records and confidential research
  - For all confidential research, the research group is not obligated to disclose the participants names.
    - The receipts must be retained by the research group
    - In the case of an audit, the researcher must ensure that they are readily available
    - They are not to be forwarded to any Finance group, Travel Desk, RFMS, and/or FST as this contravenes confidentiality regulations the participants agreed to

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# Procurement Reminders



- Consultant Contracts
  - By law, treated the same as service contracts
  - Follow the same procure-to-pay as all other contracts, i.e. a PO (and therefore a vendor record) must be in MMP before consulting services are received
  - Contact Procurement Services ([feedback.purchasing@mcgill.ca](mailto:feedback.purchasing@mcgill.ca)) to ensure all bases are covered

# Procurement Directive



Value of Purchase	Number of Quotations
Less than \$2,500	Best practice to obtain written confirmation from a supplier (e.g. quotation, email or website printout)
Between \$2,500 and \$24,999	1 quote
Between \$25,000 and \$99,999	3 quotes
Above \$100,000 (or Legal Exceptions)	Public call for tenders

- Refer to Request for Quotation Template

<http://www.mcgill.ca/procurement/howto/source/rfq>

# Procurement Reminders



- POs over \$25,000 are publicly posted on SEAO in accordance with the *Act Respecting Contracting by Public Bodies, (R.S.Q.ch. C-65.1)*
  - To promote transparency and fairness to all suppliers
  - Are under public scrutiny/media attention
  - Purchase requisitions must include:
    - 3 quotations attached in MMP
    - A meaningful product description (summary of goods/services, contract title) not to exceed 50 characters  
 EXAMPLE: Deluxe Luncheon for 50 people at \$150 each  
 SUGGESTED: Annual CAUBO lunch paid through registration fee
    - Additional information such as quote number should be entered in internal/vendor notes





# Compliance Results FY15

- FY15 (Q4) and FY15 annual results were communicated to the FFOs and the TRIG Exec Steer Co in August 2015
- Overall results improved from FY15 – Q3

## Overall University Totals (Includes Other Research)

PROGRAM	FY15 (Q4)	FY15 (Q3)	FY15	FY14
PCard			9%	19%
Expense Reports	19%	23%	26%	36%
POPS	19%	23%	24%	41%
BSA	10%		12%	17%



# Compliance Results FY15

- The non-compliance rate for EXRs for FY15 pertaining to Tri-Agency claims remains high.

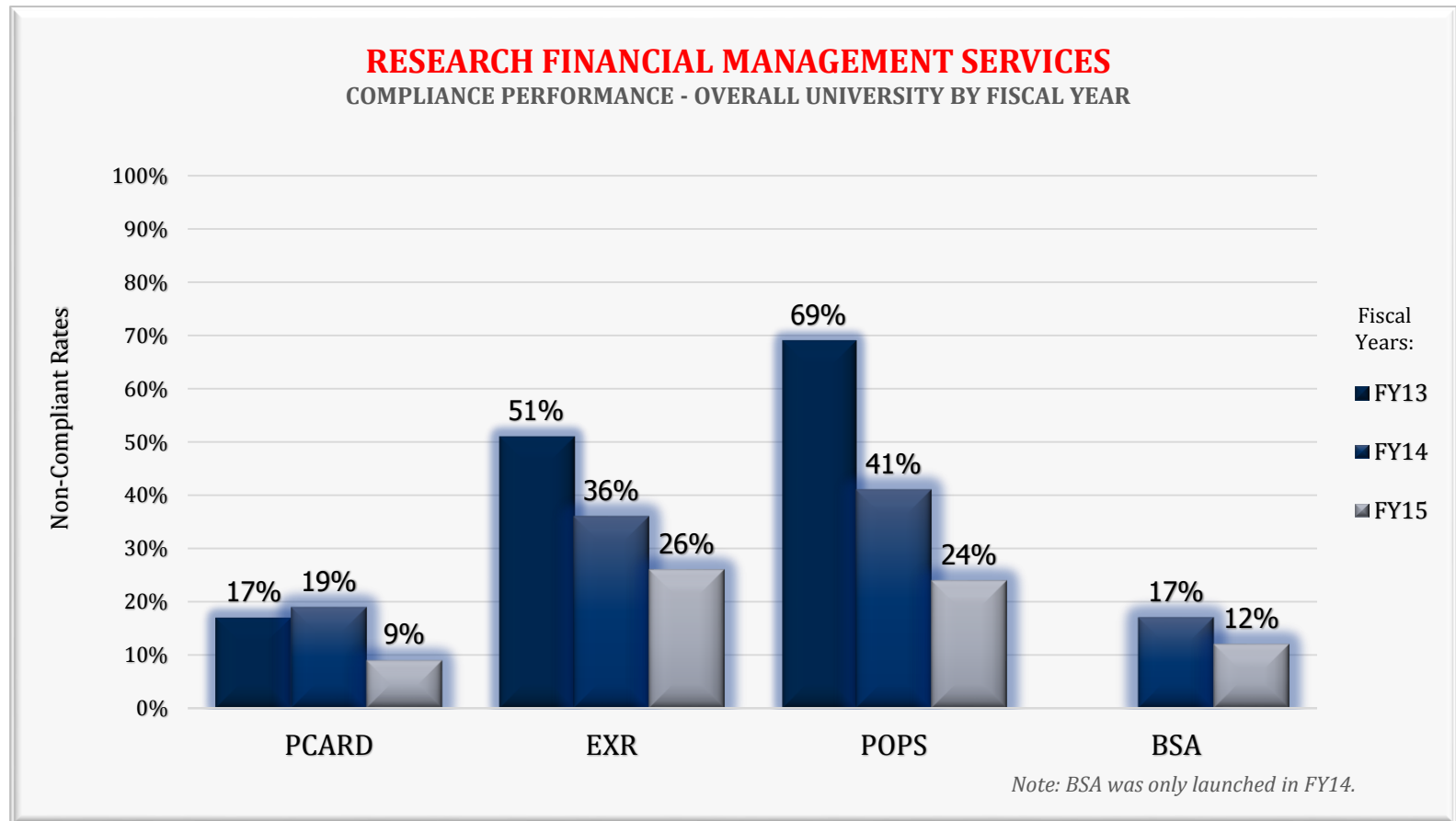
## Tri-Agency Specific (University Totals)

PROGRAM	FY15 (Q4)	FY15 (Q3)	FY15	FY14
PCard			11%	19%
Expense Reports	22%	26%	<b>29%</b>	40%
POPS	16%	20%	22%	40%
BSA	10%		12%	17%

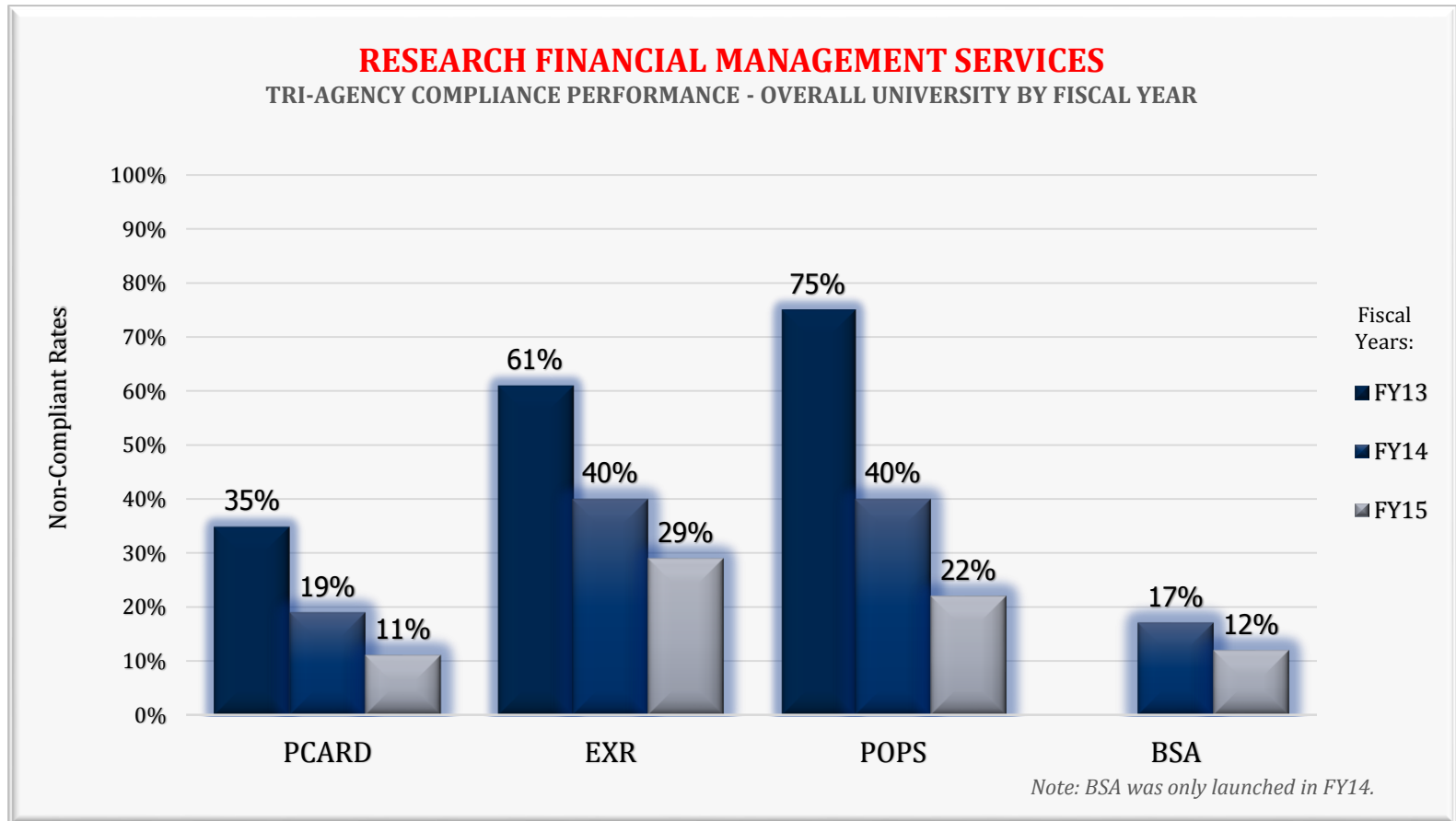
- While important strides have been since FY14, more work needs to be done to lower the error rate for Expense Reports

# Comparative Results: FY13-FY15

## Overall University - Includes Other Research



# Comparative Results: FY13-FY15 Tri-Agency Specific - University Totals



# Tri-Agency Audit Simulation

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- Monitoring & Compliance is currently performing the Tri-Agency Audit Simulation
- All transaction streams will be tested
- Period covered: January to July 2015
- Request FST assistance to ensure required documents/information are received within the deadline
  - If no documentation is received within 5 working days, FSTs & FFOs will be copied in the reminder emails
- Results & Findings will be communicated in October 2015



# Tri-Agency Monitoring Visit 2016



- Audit period: **January 2015 to December 2015**
- **August 2015:** Tri-Agency sent the Collaborative Information Gathering Tool (CIGT) to McGill University for completion.
  - This document contains 100 questions and is aimed at assessing the University's overall controls
  - Completed jointly by RFMS and OSR
  - Based on the University's responses, the auditors will assess each item
- **January 2016** - Tri-Agency to request G/L details for specific grants
  - More G/L details will be requested to ensure variety of transactions but fewer transactions will be sampled
  - A sample selection request will be sent to McGill University by end of January



# Tri-Agency 2016 Monitoring Visit



- **February 2016:** The completed CIGT is to be returned to the Tri-Agency
- **February 2016:** Site Visit
  - The site visit will last three days; three members from Tri-Agency will be on site
  - All supporting documents for sample selections will be made available on site
  - Interviews with grant holders will not be conducted
  - A debrief session will be held at the end of the site visit
- **March 2016:** Tri-Agency will submit a detailed assessment report summarizing the review findings
- **April 2016:** McGill University will have one month to provide remediation actions plans where applicable
- **May 2016:** Final report will be issued

# Common Errors Found FST Expense Reports

- **Overdue advances:** FSTs must not approve any expense reports when overdue advances exist
- **Missing Signatures:** FSTs must ensure that expense reports are signed by the appropriate parties
- **Expense report does not bear FST stamp**
- **Expense reports remain unapproved in the FST's queue:** Expense Reports must be approved in order for the travel desk to be able to extract them for payment
- **Discrepancies in amounts claimed (hardcopy vs Minerva):** FSTs must ensure that the amounts are the same on both the hardcopy and on Minerva
- **Address for remitting cheque/wire transfer are incomplete**



# Other Points to Consider

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**DEADLINE**

- **Daily deadline of 2:00 pm for travel advances to 3rd party payments ie: Uniglobe, House of Travel and Vision.**
- **Fund frozen, terminated and FOAPAL is not complete**

# Accounts Payable Reminders

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- The invoice must match the Banner commodity listed in the PO. The variance should not exceed 10% or greater than \$2,500 of the PO amount. (excluding shipping costs, lodging taxes)
- Standing Orders are no longer being over-ridden
- When possible, enter the shipping charges on a separate commodity line (unit of measure)



# FST Presentation

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## FST Roundtable Faculty of Science

Best Practices Presentation



McGill

	NSERC 202345 End: March 2016	CIHR 123457 End: May 2016	SSHRC 234655 End: March 2019	Start UP 123459 End: March 2021	Biology Misc 226987 End: May 2022
<b>Starting Balance</b> (includes prior yr balance)	-	125,000.00	40,000.00	3,080.83	52,000.00

<b>Expenses charged to date:</b>	1,832.01	34,403.69		9.90	25,498.61
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**Commitments** (Already deducted from fund balances)

Andy Doyon			13,333.50		13,333.50
Cristie Massey		31,333.32			
Jane Ottoman					5,100.00
Christopher Agusta		4,800.00			
Materials / Lab Suplies		480.00	140.00		55.00
Equipment			4,895.00		

<b>BALANCE AVAILABLE TO SPEND</b>	<b>-1,832.01</b>	<b>52,982.99</b>	<b>21,631.50</b>	<b>3,070.93</b>	<b>8,012.89</b>
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**Planning:**

					<u>Start</u>	<u>End Date</u>
<b>Current:</b>	150222555	Andy Doyon	Research Assistan	40,000	01-May-15	30-Apr-16
	150454444	Cristine Massey	Technician	47,000	01-Dec-12	None
	260212021	Jane Ottoman	Graduate Award	8,000	01-Sep-15	31-Dec-15
	260587255	Christopher Agusta	Teaching Assistant	6,500	01-Sep-15	31-Dec-15

**Future:**

	260587255	Christopher Agusta	Teaching Assistant	6,500	<b>01-Jan-16</b>	<b>30-Apr-16</b>
	260564985	Robin Further	Graduate Award	8,000	<b>01-Jan-16</b>	<b>01-Mar-16</b>
	267854632	Hutton Mahas	Graduate Award	8,000	<b>01-Jan-16</b>	<b>01-Mar-16</b>

Expendables = per student by semester	1 Graduate Student	1,000.00
	1 Research Assistant	500.00

<b>Future Estimated Costs</b>	<b>24,000.00</b>
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# Reports used for budgeting:

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- Fund listing by Department Organization Code
- Summary of Funds Report
- Fund balances & Profiles by FFM
- Monthly Fund Payroll Details by FFM
- Banner – FGIBDST / FRIGITD
- BSA – Awards by FFM

# Purpose of budgeting/planning

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- Gives quick snapshot of balances
- Shows student commitments
- Shows other salary commitments
- Shows when funds will be ending, therefore reminding them of the possible time line to apply for further funding/grants
- Knowing balances should prompt them to charge the correct fund and avoid multiple transfers
- Enables Profs to use information for planning and future commitments

# FST – Backup system in place

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- Vacation/absences period backup
- FST travels to different unit to help out
- Similar functions in each unit
- Basic function – expense reports and advances
- Approvals/disapprovals

# Upcoming FST Meetings



- Upcoming FST meetings
  - Next Faculty is...
- Next Meeting

Date	Time	Location	Room
October 21, 2015	2:00pm – 3:30pm	Strathcona Anatomy & Dentistry	M/48

- The FST meeting schedule for 2015 is posted on the RAN website  
<https://www.mcgill.ca/research/ran/members/financial-services-teams-fst>



# And the next Faculty is.....



# OPEN DIALOGUE

