



FST ROUND TABLE

December 7, 2016

9:00am to 10:30am

Strathcona Anatomy & Dentistry Building,
Room M/48



Agenda

1. Announcements, Updates & Reminders
2. Pcard: Oversight Role & Justifications
3. Tri-Agency Year-End Preparation
4. Compliance Results FY17-Q1
5. Open Dialogue / Q & A / Closing Comments



Staff Announcements

FST


Name	Faculty	FST
Ann Otis	Faculty of Medicine	MED08
Lila Lee	Faculty of Science	SCI03
Matthew Lagace	University Advancement	DAR01
Meena Mohan	Faculty of Arts	ART06

RFMS

Name	Position
Theresa Ewan	Assistant Supervisor, Tri-Agency team
Josie Cinelli	CFI, CRIAQ, Environment Canada, Genome, MDEIE

Transaction Services Holiday Deadlines

December 2016

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
27	28	29	30	1	2	3
					5pm: Deadline to send Non-FST expense reports & Advances	
4	5	6	7	8	9	10
11	12	13	14	15	16	17
		5pm: Deadline to send FST expense reports and Advances				
18	19	20	21	22	23	24
		<ul style="list-style-type: none"> 12pm: Deadline to submit feeds 5pm: Deadline to submit "Request for Invoice" form Last day for A/P to process expense reports and Advances 	Payment will be processed for Invoices with a due date of December 20th and prior	<ul style="list-style-type: none"> 12pm: Deadline to send cheques 2pm: Deadline to hand delivered cheque >250K 		

Reminder - Travel Management Program

A. Airline tickets (<http://www.mcgill.ca/travelservices/faq>)



1. How should I book my airline ticket?

It depends on which fund you use to pay for your airline ticket

If you are traveling on **operating funds** (all except 2F and 2M funds) you are required to purchase your ticket from [Vision Travel](#), either through the services of a travel consultant or directly on their booking tool - [VisionLink](#).

If you are traveling on a **2F or 2M fund**, you may use [Vision Travel](#) and benefit from McGill negotiated airline discounts or you may use any other travel supplier. The University recommends using the services of a [Quebec Licensed Travel Company](#).

2. Can I book tickets for any airline company when using the services of [Vision Travel](#) or [VisionLink](#)?

Yes.

3. What if I find a cheaper airfare compared to the quote provided by [Vision Travel](#) or via [VisionLink](#)?

The University has a 'Best available airfare guarantee' from Vision Travel - if the traveler finds a lower fare from another [travel supplier licensed in Quebec](#) for the exact same everything, Vision will match the lower fare (certain conditions apply).

Reminder – Expense Reports

* - indicates a required field.

Destination city*

Province/State*

Destination country*

Start date*

Return date*

Purpose*

Describe purpose*

Default Fund Code*

Claimant Affiliation

■ NEW Field Added (as of Dec 1, 2016):

- Claimant Affiliation

■ Adequate Justification

- Purpose of the trip – why trip was necessary for the research
- Computer/Electronic items - demonstrate that the expenditure is a direct cost of the funded research

■ Checklists

- **Tri-Agency:** RAN website
<http://www.mcgill.ca/research/ran/research-administration-toolbox>
- **General:** Financial Services Knowledge Base
Article # 3939



McGill

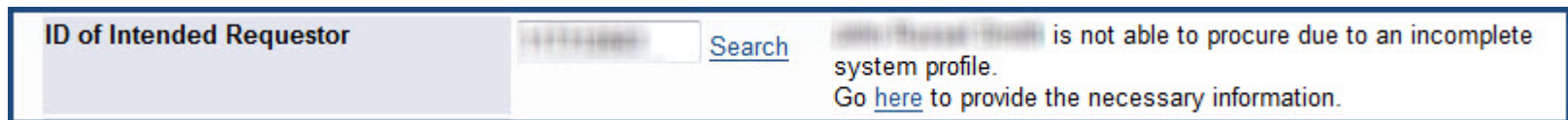
Finance Access: MMP



Reminder

- **MMP Access does not require FIS 301**

- At the Sponsorship menu, if the following message appears = person does not have a Finance profile



A screenshot of a web interface showing a search box for 'ID of Intended Requestor' with a 'Search' button. To the right, a message states: 'is not able to procure due to an incomplete system profile. Go [here](#) to provide the necessary information.'

- Click "[here](#)" → Follow the instructions: enter information to create a profile for the individual (address, phone number, etc.)

- **How to Sponsor a Requestor (MMP)** ([FSKB#4016](#))

Finance Access: JE16

- FIS Security received *multiple* JE16 authorization forms for the *same* person
 - You only need to submit the form once, even if your FIS query access changes with the addition/deletion of funds.
 - You only re-submit the form if you change Units.



Access to Data Warehouse for PIs

- Not all PI knows what his/her Banner User ID and Password are
- Tips: <http://www.mcgill.ca/financialservices/reporting/access>
- Request Form: <https://mcgill.ca/it/data-warehouse-request>
- Popular Reports:
 - Fund Balances and Profiles WEB Report
 - Grant Inception To Date Expenditures WEB Report

Reminder - Salary Encumbrance

- Not all employees' salaries appear as an encumbrance
- Casual employees paid in 600024 are not encumbered
- Manual calculations will need to be tracked



Projects for 2017

■ Salary Forecast Report

- Brainstorming session between OSR and FIS reporting team
- Future meeting to review what we need
- FIS Report will determine the possibility to program report
- Might ask for collaboration from HR

■ Development of PI Welcome & Departure Package / checklist

- What resources/tools are currently available
- Send us your feedback



Tri-Agency Findings: PCard Oversight Role & Justifications

PCard Findings

- Transactions processed with the PCARD must meet the following four conditions to be compliant with Tri Agency guidelines
 - Authorization of expenditures (Item 51)
 - Review of compliance and eligibility of expenses (Item 52)
 - Adequate justification (Item 53)
 - Documentation (Item 53)

PCard Findings (Item 51-53)

CIGT Finding Number	Control Assessed	Agency Finding	Institution Remediation Plan
Item 51	All Pcard transactions are authorized by the Grant Holder/delegate	PI/delegate approval in MOPS was implemented in December 2015 but was not tested by Tri-Agency	<ul style="list-style-type: none"> • Resolved through the implementation of the PI/delegate approved in MOPS
Item 52	Expense transactions are reviewed for compliance and eligibility by an appointed institutional official other than the Grant Holder or their delegate.	In most faculties, transactions incurred with a purchasing card are not reviewed for compliance and eligibility by an appointed institutional official other than the grant holder or their delegate.	<ul style="list-style-type: none"> • Implement new approval queue for central oversight.
Item 53	PCARD statements are reconciled to the supporting documentation.	Purchasing card transactions are supported by documentation regarding the goods and services acquired. However, information is missing such as justification for computers and internet.	<ul style="list-style-type: none"> • Implement importing of image of Pcard receipts. • A mandatory free form field to capture expense justification will be added to MOPS

PCard Updates

■ Expense Justification Field:

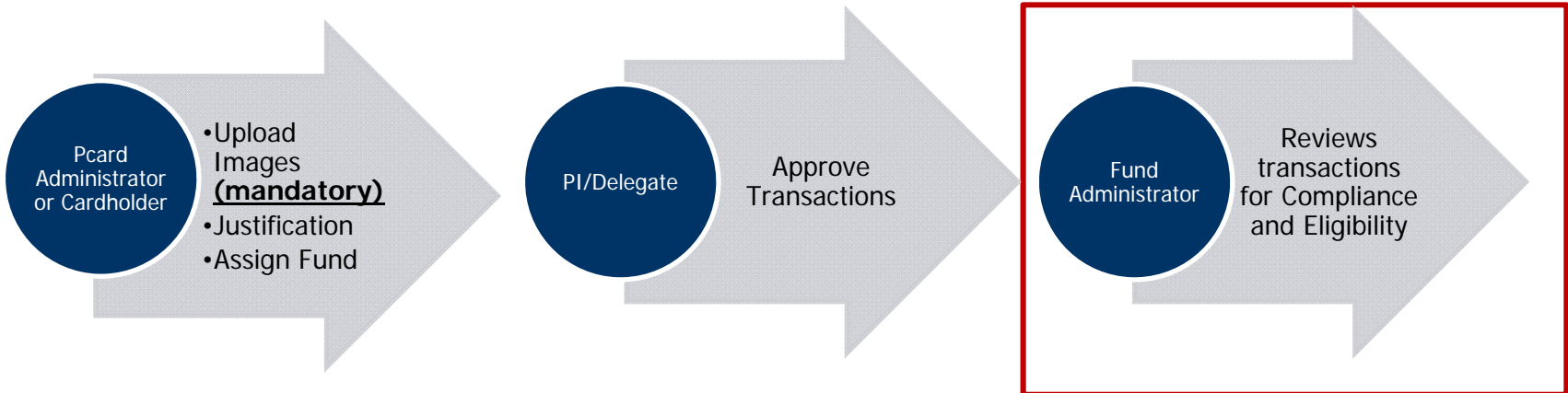
- Decision made: will be mandatory for all Pcard transactions regardless of fund type.
- Go-live should be February 2017

■ Implementing new approval queue for Central Oversight:

- Decision made: will be mandatory for all Pcard transactions reconciled against Tri-Agency grants
 - Mandatory upload of receipts
 - Transactions will be reviewed for compliance and eligibility by Fund Administrator
 - Go Live date – TBC (once specifications are given to IT)

Implementing new approval queue for Central Oversight

Solution #1



- Reconciler in MOPS can be anyone → Status Quo
- PI/Delegate approves the transaction → Status Quo
- Institutional Official approves the transactions as the Central Oversight (NEW):
 - Fund Administrator will approve if the Reconciler is not the FST
 - Implicit approval if the Reconciler is the FST as they will be deemed Institutional Official

Tri-Agency Year End 2017

- Tri-Agency financial statements
 - Period ending: March 31, 2017
 - Agency due date: June 30, 2017

- Ineligible Expenses 2016-17
 - The April-October 2016 review has been completed by the FA
 - If they require assistance, they will contact the FSTs

- Grants terminating March 31, 2017
 - Email reminders will be sent to PI's next week
 - A list will be saved in the FST directory
 - FA will review all funds for o/s travel advances and purchase orders



Tri-Agency Year-End 2016-17

■ Grants terminating March 31, 2017

- All purchases must be received and invoiced by March 31, 2017; invoices dated after March 31, 2017 are **NOT** eligible
 - The invoice date will determine the eligibility of the expense **NOT** the date of the PO
- Outstanding travel advances, encumbrances and balances must be cleared by March 31st
- Expense reports and travel advances must not exceed grant's end date

■ FST's can help by:

- Assisting PIs in clearing outstanding travel advances, encumbrances and unspent balances and monitoring fund activity

Outstanding Year End Statements

■ Financial Statements 2015-16

- Email reminders have been sent to the PIs that have not yet returned a signed statement for 2015-16 with a deadline is December 9th
- A follow up will be sent on December 12th with a cc to the FST

■ Financial Statements 2014-15

- Approx. 500 statements have not been signed
- Follow up emails will be sent to PIs
- FST assistance may be required



Compliance Results FY17-Q1

University Totals (ALL RESEARCH)

PROGRAM	FY17 (Q1)	FY16 (Q4)
Expense Reports	24%	16%
POPS	14%	13%

University Totals (TRI-AGENCY SPECIFIC)

PROGRAM	FY17 (Q1)	FY16 (Q4)
Expense Reports	30%	19%
POPS	14%	13%

EXPENSE REPORTS

Common Findings FY17-Q1

- ❑ Missing detailed receipts for meal expenses
- ❑ Missing original receipts/invoices
- ❑ Ineligible expenses: alcohol, thesis-related expenses
- ❑ Missing authorizing signatures:
 - ❖ **TRI-AGENCY:** Approval of student claims cannot be delegated
- ❑ Substantive errors:
 - ❖ Items claimed in wrong currency
 - ❖ Discrepancies between claimed amount and credit card statement
- ❑ **TRI-AGENCY & FRQ:** Incomplete/missing conference programs
 - ❖ Only the first page of the conference program is attached
 - Daily workshops and dates of the conference must be included
 - ❖ Not all agendas are attached for visits to numerous collaborators

EXPENSE REPORTS

Common Findings FY17 - Q1

- ❑ No new approvals for changes in claimed amounts
 - ❖ Travel Desk will accept email approvals for changes in claimed amount up to a maximum of \$100
 - ❖ Email approvals should be attached to the expense report and must contain the following: **EXR number, claimant name, revised claim amount, fund**

SCENARIO	ACCEPTABLE APPROVAL
Increase in amount \leq \$100	Approver email (FFM/1-up) or new signature
Decrease in amount \leq \$100	Email to claimant with a copy to approver
New item regardless of amount	New signatures (<i>emails not accepted</i>)

EXPENSE REPORTS

Observations FY17 - Q1

- ❑ Airfares:
 - ❖ Airfare invoices paid through an advance are not attached to the claim
 - Difference in amounts between 3rd Party Claimant Form and actual invoice paid
 - ❖ Missing quotation for airfares that include personal/extended trips
- ❑ Claims that go through a reviewer's queue are signed by the FFM without fund information
- ❑ Missing printed name of approver/s
- ❑ Non-comprehensive claims
 - ❖ Missing information why other necessary travel-related expenses are not being claimed

POPS

Common Findings FY17 - Q1

- ❑ Discrepancy in hours paid and as shown in the time sheets due to:
 - ❖ Erroneous calculation
 - ❖ Lunch hour/time off not accounted for
- ❑ Offer letters not properly signed:
 - ❖ FFM electronically/digitally signed
 - ❖ Signatory is not the FFM
- ❑ Time sheet has no proper payment approval:
 - ❖ Approved by FFM signed prior to work completion, or
 - ❖ Approved before start of work week, or
 - ❖ Approved after payment, or
 - ❖ Does not indicate the fund to charge, or
 - ❖ A fund was indicated but was posted instead to another one

POPS

Observations FY17 – Q1

- ❑ Time sheets not properly completed:
 - ❖ Missing time-in/out
 - ❖ Missing hourly rate
 - ❖ Printed name of approver is not indicated
- ❑ Email approvals must contain the following:
 - ❖ Payee
 - ❖ Pay period
 - ❖ Fund
 - ❖ Total hours worked
 - ❖ Total amount

Sabbatical-Related Expenses

- **Tri-Agency only** – Information required before processing advances or expense reports for sabbatical-related expenses:
 - ❖ Does the PI have an appointment at another institution?
 - If yes, will the PI receive remuneration from the other institution?
 - ❖ Does the PI have any obligations to fulfill at the other institution?
 - If yes, what is the remaining estimated percentage that will be devoted to the research?
 - ❖ Is there adequate/detailed justification for the expenses?
 - Who is the PI meeting?
 - Where are they meeting?
 - What are they going to discuss?
 - How is it related to the PI's research?
 - ❖ How long is the duration of the sabbatical?
 - Can work be done remotely to shorten the trip?

Adequate Justification - Checklist

Adequate justification should demonstrate that purchase:

- ❑ Is directly related to and necessary for the advancement of funded research
- ❑ Is for an item not normally provided by the institution
- ❑ Represents an economical use of funds
- ❑ Relates to a need that is not met by equipment currently available or in the grant holder possession



Adequate Justification

Adequate Justification for Computer - Example

The lab is studying eye movements and visual perception by measuring large scale neurophysiology data. The size of neurophysiological recordings done in the lab are in the order of several hundred gigabytes. Pre-processing and analysis of such data requires computers with high processing capacity. Therefore the purchase of Dell T5810 computer is appropriate to charge to my NSERC fund.

Questions from FST

Requisition Approvals - RFMS

- Approval Time Frame
 - Normal period: twice a day morning/afternoon
 - During Reporting/Financial Statement period,
→ might be reduced to once a day

- Substitute
 - When a FA is absent, a substitute is set up in the system
 - If you are unable to reach the FA or Substitute, contact Supervisor for urgent REQs

OPEN DIALOGUE

Future FST Formats/Activities



Upcoming Meetings



Next RAN session:

Date	Time	Location	Room
Thursday, January 26, 2017	9:00am – 10:30am	Carrefour Sherbrooke	2nd Floor Ballroom

Meeting schedule is posted on the RAN website
<http://www.mcgill.ca/research/ran/fst-meetings>



See you in 2017!