

Federal Agencies' Grant and Award Management Questionnaire

General

1. How are the research activities perceived by senior management?
 - Very important.
 - Important.
 - Secondary to the other activities at the institution.
 - Not important.
2. Are the information systems supporting the research and finance activities integrated?
 - Completely integrated.
 - Partially integrated.
 - Separate.
3. Does your organization have an internal audit department that audits the compliance of the research operations (i.e., transactions, policies and procedures) of the organization with the guidelines of the granting agencies?
 - Yes.
 - Yes, but only the policies and procedures of the organization are audited.
 - No, the organization has no internal audit department.

Eligibility Requirements

4. Does the Research Grants Office (RGO) or equivalent ensure that applications forwarded to the agency meet the agency's eligibility requirements?
 - Yes, eligibility of all applicants is verified.
 - Yes, but only eligibility of new applicants is verified.
 - No, we rely on each agency to verify eligibility.

Certification for research involving animals, human subjects, biohazards or radioactive material

5. At what point is a need for certification assessed for a research project?
 - By the grantee at the time of application.
 - By the RGO during review prior to sending the application to Council.
 - By the grantee during the research project.
 - Other. Please specify:
6. Are there any funds released to the researcher's account by the institution prior to meeting the necessary certification requirements?
 - Never.
 - Always.
 - Sometimes.
7. How is the Business Office (BO) notified that the certification has been obtained?
 - Automatically communicated by the RGO.
 - Done by the RGO upon request only.
 - The BO is not notified.
 - Other. Please specify:
8. During the term of the grant, does the institution verify if the proper certification is in place and still valid?

Federal Agencies' Grant and Award Management Questionnaire

- Yes
 No

Conflict of Interest

9. Does the institution have a policy on conflict of interest to address any issues where the grantee had financial or personal interest in any transaction chargeable against agency grants?

- Yes.
 No.

If any such issues were addressed in the past, when was the agency informed?

- Immediately when the issue was identified.
 Following review from the institution internal auditors.
 The agency was not notified since the problem was solved internally.
 Other. Please specify:
 N/A (the issue has not arisen).

Change in the Status of Grant and Award Holder

10. Is there a formal process to report changes to appointments (status) in a timely manner?

- There is no formal process.
 The department informs the RGO and the BO.
 Human Resources consistently informs the RGO and the BO of changes.
 Other. Please specify:

11. Is there a formal process to verify the continuing eligibility of awards holders (PGS, trainees, etc.)?

- There is no formal process.
 The supervisor informs Graduate Studies and the BO.
 Human Resources informs Graduate Studies and the BO.
 Other. Please specify:

12. When is the agency informed about these changes?

- Immediately.
 During the annual review requested by the agency.
 No formal process.

Authorization of Expenditures

13. Before the good/service is purchased, is approval of the expense required?

- Yes.
 No.

14. Who can initiate or authorize expenditures from a grant account?

- The grantee only.
 The grantee and any person with the grantee's written delegated authorization.
 Other. Please specify:

Federal Agencies' Grant and Award Management Questionnaire

15. If the grantee delegates his/her authority, where is the delegated written authorization kept?

- The delegation of authority list is maintained by the BO and used to verify authorization of expenditures.
- The grantee maintains the delegation of authority list.
- No records are kept by the grantee or by the BO.
- N/A (no authority delegated).

16. Are **all** transactions reviewed to ensure that they are in compliance with the agencies' guidelines?

- Yes.
- No.
- Done on a sample basis only with a materiality level of:
 - \$0 - \$499
 - \$500 - \$999
 - \$1,000 - \$2,500
 - over \$2,500
- Other. Please specify:

17. By whom?

- Internal Audit Department.
- Grantee.
- BO.
- Departmental staff.
- Other. Please specify:

18. How and when do grantholders receive information/statements on expenses and commitments charged to their grants?

- Electronically, information is updated at short intervals (weekly or bi-weekly).
- Monthly paper statements.
- Less frequently than monthly (electronically or paper).
- Upon request only.
- Other. Please specify:

19. Is the financial information provided to researchers regarding the amounts charged to their grant account:

- Summarized?
- Detailed by transaction?
- Detailed by type of expense?
- Other? Please specify:

20. Can grantholders get cash advances?

- Yes, the research account is charged when the cash advance is given to the grantholder **and** later reconciled against actual expenditures.
- Yes, but expenditures will be charged to the research account only when the corresponding claim is submitted with invoices and reconciled against the cash advance.
- Never, it is against the institution's policy.
- Other. Please specify:

Equipment

21. Does most of the equipment and material purchased or collected through agency grants remain the property of the institution?

- Yes.
- If not, who is normally granted the ownership? Please specify:

22. Is there an equipment inventory system at the institution that would track equipment purchased with agency funds?

Federal Agencies' Grant and Award Management Questionnaire

- Yes, and it is maintained centrally by the institution.
- Yes, and it is maintained locally by the department.
- No.

23. If agency-funded equipment or vehicles are later sold, who receives the proceeds from the sale?

- Institution, general account.
- Institution, account to finance research.
- Grantee's account that originally funded the equipment or vehicle.
- Departmental account.
- Other. Please specify:

24. Is the equipment available to other researchers and students when it is not used by the grantee?

- No.
- Yes.

If yes, who ensures that it is available?

- Responsibility of department (i.e., equipment log for time).
- Responsibility of grantee.
- Other. Please specify:

25. For equipment purchased with an NSERC Research Tools and Instruments Grant, if the grantee wishes to purchase equipment different from that specified in the application, does either the BO or RGO monitor that written permission is obtained from NSERC prior to its purchase?

- N/A (do not have any Research Tools and Instruments Grants).
- Yes, always.
- Never.
- Sometimes. Please specify:

26. Is there a procurement process in place at your institution?

- Yes.
- No.

Projects Grants (NSERC specific)

27. For **projects grants** (such as Strategic Projects, CRD grants, etc.), does the BO or RGO take a role in ensuring that NSERC approval was received for significant deviations from the original objectives or the initial total budget of more than 20% or \$10,000 per year, or 20% per line item whichever is greater?

- N/A (do not have any project grants).
 - Yes, always.
 - Never.
 - Sometimes. Please specify:
-

Federal Agencies' Grant and Award Management Questionnaire

Compensation

28. Are salaries encumbered against grant accounts?

- Yes.
- No.

29. Are salary forms reviewed for compliance with the agencies' salary dollar values and time limits?

- Yes.
- No.

By whom?

- RGO.
- Human Resources.
- BO.
- Department.
- Other. Please specify:

Travel Expenses

30. Are individual travel claims prepared for each trip by each traveller claiming expenses from an agency grant? *(Claims normally include the purpose of the trip, the persons or organizations visited, official documentation indicating the dates of events for conferences and workshops, original receipts.)*

- Yes, a travel claim is prepared for each trip and includes all the information listed above.
- Yes, but not all the information above is included.
- No, travellers are reimbursed through the agency's grant upon presentation of an invoice only.
- Other. Please specify:

31. Does the claimant certify that all expenditures claimed are for the purposes for which the grant was awarded and no charges were reimbursed from other organizations?

- Yes, for both reasons.
- Yes, but only in relation to the awarded grant.
- Yes, but only in relation to the reimbursement from other organizations.
- No.
- Other. Please specify:

32. Do all travel claims conform to the standard travel policies and procedures of the institution?

- Yes, always.
- Sometimes. Please comment:
- Never. Please comment:

33. Does the department head or dean countersign travel claims?

- Yes, always.
- Yes, sometimes.
- No, nobody countersigns the travel claims.
- No, but countersigned by (please specify):

34. Are travel agencies permitted to invoice the institution directly for research travel?

- Yes.
- No.

If yes, how does the institution ensure that a travel claim is submitted for each ticket for which the travel agency has invoiced the institution directly?

Federal Agencies' Grant and Award Management Questionnaire

35. Does your institution have a formal process in place for the disbursement of funds in the General Research Fund* (GRF) account?

- Yes.
 No.

Name of organization: _____

We certify that the information given in this questionnaire is correct and represents the current administrative and financial processes in place at our institution.

Name: _____ Date: _____

Position
: _____

* The Agency will allow residual funds from prior years to be retained by the Institution under certain conditions determined by their Finance Division. The Finance Division may authorize such funds to be transferred to a General Research Fund (GRF). These special NSERC and SSHRC accounts are held in trust by the Institution president for the broad purpose of enhancing the quality of research in the natural sciences and engineering or in the social sciences and humanities.