
AT-SEA MENTORING INITIATIVE



REPORTING PROCEDURES HANDBOOK



Fisheries and Oceans
Canada

Pêches et Océans
Canada

Canada

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INTRODUCTION

The Reporting Procedures Handbook:

The purpose of this handbook is to provide information on the reporting policies and procedures for your At-Sea Mentoring Initiative Contribution Agreement. It explains the requirements for receiving payment, as well as additional information that will assist your community and Fisheries and Oceans Canada (DFO) in evaluating the training and mentoring initiatives under the *Marshall* Response Initiative. The Handbook does not modify the Contribution Agreement and in the event of an inconsistency between the handbook and the Contribution Agreement, reference is to be made to the Agreement.

Rationale of the Handbook:

The Reporting Procedures Handbook will be provided to every First Nation community that has submitted a Training Plan approved by Chief and Council, and has entered into a Contribution Agreement with DFO. The handbook will help your community by:

- ◆ clarifying payment procedures;
- ◆ summarizing what needs to be submitted and when;
- ◆ identifying who should receive documents and reports; and
- ◆ explaining how to complete each report.

Definition of Terms:

Service Provider	An approved mentor deployment organization chosen and contracted by your community to deliver projects under the At-Sea Mentoring Initiative.
Contribution	Funding provided by DFO for the At-Sea Mentoring Initiative
Eligible Costs	The costs and expenses approved by DFO that are incurred by and are paid or payable by the First Nation during the term of the Mentoring Contribution Agreement (Appendix B)
Fiscal Year	The period beginning on April 1 of any calendar year and ending on March 31 of the next calendar year
Activities	For the purposes of this handbook, the term Activities refers to all the activities that form part of the Project under the Contribution Agreement.
Project	All activities described in the Mentoring Contribution Agreement

SECTION 1

PROCEDURES FOR RECEIVING PROGRAM FUNDING AND ADVANCES

INITIAL ADVANCE

Currently the amount of funding DFO can advance to your community and the timing of payments depends on the:

- total value of your Mentoring Contribution Agreement; and,
- receipt of required information from your community.

Your community will provide to DFO prior to the first advance of funding,

- a) a Cash Flow Projection of Eligible Costs (Appendix C); and
- b) a projected summary of results from the Project (Appendix C); and
- c) a copy of the finalized contract(s) with the Service Provider of your choice.

Once your community has provided to DFO the required documents, your Contribution Project Officer will advance payment for the first month.

SUBSEQUENT ADVANCES

DFO shall deliver subsequent monthly advance payments in the percentage outlined in the Contribution Agreement providing the following conditions are met:

- a) your community will account for the previous advance by providing DFO with the following information:
 - i. a copy of the paid invoices from the Service Provider for the payment period in question; and
 - ii. proof that your community has paid the percentage outlined in Appendix A; and
- b) your community has provided to DFO, a Contribution Project Report (Appendix C) from your community, that is acceptable to and verified by DFO.

The amount of the first and subsequent advances will depend on the sum of the funds indicated in your cash flow projection (which can be revised at anytime). DFO may require at any time, your community to provide a revised cash flow projection of Eligible Costs for the remaining Fiscal Year.

You should also note that all Contribution Agreements are subject to a **10% holdback** which will be paid following completion of the Activities after verification by your Contribution Project Officer that all requirements in the Contribution Agreement have been met.

1.2 ITEMS TO BE PROVIDED WITHIN 75 DAYS OF THE COMPLETION OF ALL ACTIVITIES PRIOR TO FINAL PAYMENT

Within 75 days following:

- a) the date on which the First Nation incurs Eligible Costs in an amount equal to or exceeding the maximum amount of the Contribution, or
- b) completion of all activities within the Contribution Agreement, or
- c) termination of the Contribution Agreement, or
- d) abandonment of the Activities by the First Nation.

Certain requirements must be met before payment of the holdback.

In order to receive the holdback of 10% of the funding dollars, your community has *75 days to provide the following items to DFO*:

- a) an accounting of all outstanding advances as required;
- b) a copy of the final invoices from the Service Provider;
- c) proof that the First Nation has paid their percentage for the final invoices; and
- d) receipt by your community and DFO of the Service Provider's final report.

1.3

GENERAL REQUIREMENTS

Your community shall provide to DFO at the end of each Fiscal Year a revised cash flow projection of Eligible Costs to be paid under the Contribution Agreement showing Eligible Costs your community expects to incur during the subsequent Fiscal Year using the Cash Flow Projection Form (Appendix D). DFO may, at any time, require your community to provide a revised cash flow projection of Eligible Costs for the remaining Fiscal Year.

Your community shall:

- a) keep books, accounts, records and supporting documentation with respect to all financial transactions related to the Contribution in accordance with Canadian generally accepted accounting principles;
- b) preserve the books, accounts, records and supporting documentation mentioned in paragraph (a) above together with reports and any other documents related to the Activities for a period of two years following termination of the Contribution Agreement; and
- c) if required by DFO, provide any of the documentation mentioned in paragraph (a) for examination and audit by any person that DFO may from time to time designate.

Refunds:

Within fifteen days following:

- a) the date on which the First Nation incurs Eligible Costs in an amount equal to or exceeding the maximum amount of the Contribution, or
- b) completion of all the Activities, or
- c) termination of the Contribution Agreement, or
- d) the end of a Fiscal Year, or
- e) abandonment of all the Activities by the First Nation,

whichever occurs first, the First Nation shall repay to DFO any amount of the Contribution and interest earned not used for the payment of Eligible Costs.

The First Nation shall refund to DFO, immediately on written request by DFO, any payments for which unsatisfactory evidence that the payment was expended in accordance with the Contribution Agreement.

Any overpayment or disallowed expense will immediately constitute a debt due to the Crown and must be repaid immediately upon notification. Interest then only accrues from the due date until the refund is made. No interest is charged if the refund is made before the due date.

SECTION 2

DOCUMENTS AND REPORTS REQUIRED

On the following pages, you will find a more detailed description of each of the documents and reports that may be required from your community to meet the requirements of your Contribution Agreement. These forms will also be provided in Appendix C. If you have any other questions or concerns about these items, your DFO contact will be glad to assist you (Appendix D).

In order to receive your first advance payment, the following documents are required by DFO as soon as possible after the Contribution Agreement has been signed.

a) Cash Flow Projection Report:

The Cash Flow Projection asks for a breakdown of the funds that your community anticipates will be needed in the current Fiscal Year to carry out the Activities outlined in your Contribution Agreement. Cost projections are to be broken down by month.

Your DFO Contribution Project Officer will use the cash flow statement to advance funding to your community subject to the requirements in the Contribution Agreement.

When you submit your cash flow projections, please keep providing up to date actual and revised projections to account for agreed changes to the Activities.

Cash Flow Projection	
For the _____ Fiscal Year	
MONTH	\$
April	
May	
June	
July	
August	
September	
October	
November	
December	
January	
February	
March	
TOTAL	

Fill in the Fiscal Year being reported. A new report is required at the beginning of each Fiscal Year.

Monthly breakdown of Eligible Costs required for the Fiscal Year.

NOTE: Your community should include only the Eligible Costs (Appendix B) that it will incur in the future and leave empty the spaces for the previous months.

b) Projected Summary of Results from the Project

DFO requires a brief description of the desired outcomes or expected results of each activity outlined in the Contribution Agreement. This summary will be used later to assess how actual outcomes of an activity compare to desired outcomes at the beginning of an activity.

If your Contribution Project Officer does not have a sufficient detailed description of your community's desired outcomes for any of the Activities he/she will contact your community for further information.

Projected Summary of Results from the Project			
Name of First Nation	_____		
Fiscal Year	_____		
Project	_____		
Project Location(s)	_____		
Start and End Dates	_____		
Mentor(s)	Native	Non Native	
	_____	_____	
	_____	_____	
Vessel(s)	_____		

Type of Training	<input type="checkbox"/> Deckhand	<input type="checkbox"/> Wheelhouse	<input type="checkbox"/> Vessel Maintenance <input type="checkbox"/> Other
No. of Trainees	_____	_____	_____

Include all information for each mentoring activity.

Include names of all mentors and vessels to be used.

Check which type of training is happening and the number of trainees per type.

NOTE: If your community intends on making any material changes or alterations to an activity under the Contribution Agreement, you must inform your Contribution Project Officer immediately.

c) Copy of the Finalized contract(s) with the Service Provider

Your community shall provide DFO a signed/finalized copy of the contract that is consistent with the description of activities, does not exceed its fair market value and contains the following:

- a) the Service Provider will provide to your community with a final report for your review and approval;
- b) payment schedules; and
- c) a statement that from the Service Provider that the contract is consistent with the Expression of Interest submitted by the approved Service Provider to DFO.

Consistent with the first advance, the amount of subsequent advances for each activity within the Contribution Agreement will be based on *your community's cash flow projection* (which can be revised at anytime), subject to the requirements set out in your Contribution Agreement.

You should also note that all Contribution Agreements are subject to a **10% holdback** which will be paid following completion of the Activities after verification by your Contribution Project Officer.

In order to receive subsequent monthly advances of funding, DFO requires that you provide the following documents and reports:

a) Accountability of Previous Advance

Your community will have to account for the previous advance by providing DFO with a copy of the paid invoices from the Service Provider and proof that your community has paid the percentage of invoices (Appendix A) required.

b) Contribution Project Report

In this report, you will be asked to describe work or activities undertaken to date for activity within your Contribution Agreement. Also, you must provide a breakdown of the types of expenditures made in the previous financial period and forecasted for the next period.

Contribution Project Report

Fiscal Year: _____

Name of First Nation: _____

Name of Project: _____

Amount of Approved Contribution: _____

Funds Received to Date: _____

Detail of Work or Activities Completed to Date:

Approved Contribution	Beginning of Fiscal Year to Date Eligible Costs	Commitments	Forecast to end of Fiscal Year	Total Forecast for Project
\$	\$	\$	\$	\$

Type of Eligible Costs	Contribution Received Last Period From DFO	Eligible Costs Last Period	Contribution Required for Next Period
Service Provider			
Consultant Fees			
Mentor(s) Salaries			
Mentor(s) Travel Expenses			

Signing Authority

Date

**This section will be a comprehensive report that will be completed by the Service Provider and attached to the report.*

Fill out all of the activity information.

Fill in the amount of the approved Contribution Agreement and how much your community has received to date.

This is a breakdown of what is being spent on the Activities from the beginning of each Fiscal Year.

Next period is the time frame until the next report is submitted.

Last Period refers to the timeframe covered by the last report.

***Attach Detail of Work or Activities Completed to Date (this will be a comprehensive reporting that will be completed by the Service Provider) and indicate:**

Activity Start and Completion Date:

Activity Location(s):

Comments:

Mentors

- Name
- No of Mentor Days Delivered
- Activity Type (Deckhand/Wheelhouse)
- Training Type (Inshore, Midshore, Vessel Maintenance, Mentor Certification, Other)
- Species
- Evaluation
 - any remedial action taken,
 - recommendations, and
 - conclusions

Trainee

- Name
- No of Training Days Received
- Activity Type (Deckhand/Wheelhouse)
- Training Type (Inshore, Midshore, Vessel Maintenance, Mentor Certification, Other)
- Species
- Evaluation (at the start of training, during training, at the end of training)
 - skills levels acquired (Fully knowledgeable and experienced / Capable, needs more experience / Limited knowledge and experience)
 - any remedial action taken,
 - recommendations, and
 - conclusions

Note: DFO may require the First Nation to provide a Contribution Project Report at any time or request evidence satisfactory to DFO that Contributions payment made by DFO have been expended for Eligible Costs.

2.3 ITEMS TO BE PROVIDED WITHIN 75 DAYS OF THE COMPLETION OF ALL ACTIVITIES PRIOR TO FINAL PAYMENT

a) Accounting of all Outstanding Advances

b) Copy of the Final Invoices from the Service Provider;

c) Proof that the First Nation has paid the percentage for the final invoices (Appendix A); and

d) Receipt of the Service Provider's Final Report by DFO from your Community.

The First Nation shall request from the Service Provider for review and approval, a complete final report(s) containing a report on the Activities and in relation to the outstanding Eligible Costs which will include at least the following information:

- a) Fiscal Year;
- b) activity identification number;
- c) category of activity (inshore or Midshore)
- d) vessel name;
- e) species;
- f) deckhand or wheelhouse training;
- g) names of certified mentors;
- h) if the mentor is a First Nation mentor or non-native mentor;
- i) names of trainees;
- j) number of mentor days;
- k) number of training days;
- l) an evaluation of trainees;
- m) an evaluation of mentors; and
- n) a copy of paid invoice(s)

and submit to DFO an audit of all financial transactions related to the Contribution Agreement, if required.

After reviewing and approving, the First Nation shall submit to DFO the final report(s) from the Service Provider. DFO may, at any time, require the First Nation to provide a final report from the Service Provider(s) for the Contribution.

Refunds:

Within fifteen days following:

- a) the date on which the First Nation incurs Eligible Costs in an amount equal to or exceeding the maximum amount of the Contribution, or
- b) completion of all the Activities, or
- c) termination of the Contribution Agreement, or
- d) the end of a Fiscal Year, or
- e) abandonment of all the Activities by the First Nation,

whichever occurs first, the First Nation shall repay to DFO any amount of the Contribution and interest earned not used for the payment of Eligible Costs.

The First Nation shall refund to DFO, immediately on written request by DFO, any payments for which unsatisfactory evidence that the payment was expended in accordance with the Contribution Agreement.

Any overpayment or disallowed expense will immediately constitute a debt due to the Crown and must be repaid immediately upon notification. Interest then only accrues from the due date until the refund is made. No interest is charged if the refund is made before the due date.

APPENDICES

APPENDIX A

PERCENTAGE OF FUNDING

Activity	Year One		Year two		Year Three	
	<i>First Nation</i>	<i>DFO</i>	<i>First Nation</i>	<i>DFO</i>	<i>First Nation</i>	<i>DFO</i>
Inshore	25%	75%	50%	50%	75%	25%
Midshore	25%	75%	35%	65%	50%	50%
Vessel Maintenance	0%	100%	0%	100%	0%	100%
Mentor Training and Certification	0%	100%	0%	100%	0%	100%

APPENDIX B

ELIGIBLE COSTS

Eligible Costs will consist of the following types of costs incurred by the First Nation in carrying out the Activities:

Service Provider consulting fees incurred under the contract between the First Nation and Service Provider including:

- a) Mentor(s) Salaries
- b) Mentor(s) travel expenses (including meals and incidental expenses for the mentors)

The Eligible Costs shall be approved by DFO in accordance with Treasury Board Guidelines associated with the execution of the Activities.

All other costs not listed above are considered non eligible costs for the Activities.

APPENDIX C

FORMS

The following forms are required for funding releases for the At-Sea Mentoring Initiative.

Cash Flow Projection

For the _____ Fiscal Year

MONTH	\$
April	
May	
June	
July	
August	
September	
October	
November	
December	
January	
February	
March	
TOTAL	

NOTE: Your community should include only the Eligible Costs that it will incur in the future and leave empty the spaces for the previous months.

Projected Summary of Results from the Project

Name of First Nation _____
Fiscal Year _____
Project _____
Project Location(s) _____
Start and End Dates _____

Mentor(s)	Native	Non Native
	_____	_____
	_____	_____

Vessel(s) _____

Type of Training Deckhand Wheelhouse Vessel Maintenance Other
No. of Trainees _____

NOTE: If your community intends on making any material changes or alterations to an activity under the Contribution Agreement, you must inform your Contribution Project Officer immediately.

Contribution Project Report

Fiscal Year: _____

Name of First Nation: _____

Name of Project: _____

Amount of Approved Contribution: _____

Funds Received to Date: _____

Detail of work or activities completed to date (Completed by the Service Provider and Attached)

Approved Contribution	Beginning of Fiscal Year to Date Eligible Costs	Commitments	Forecast to End of Fiscal Year	Total Forecast for Project

Type of Eligible Costs	Contribution Received Last Period From DFO	Eligible Costs Last Period	Contribution Required for Next Period
Service Provider Consultant Fees			
Mentor(s) salaries			
Mentor(s) travel expenses			

Signing Authority

Date

APPENDIX D

CONTACT INFORMATION

GULF REGION			
NAME	ADDRESS	POINT OF CONTACT	EMAIL
Bernard Thériault A/Director, Aboriginal Affairs	PO Box 5030 Moncton, NB E1C 9B6	506-851-3960	theriaultb@dfo-mpo.gc.ca
Peter Levi Jr Co-Management Development Officer	PO Box 5030 Moncton, NB E1C 9B6	506-851-7135	levip@dfo-mpo.gc.ca
Tracey Isaac-Mann Junior Program Manager	PO Box 5030 Moncton, NB E1C 9B6	506-851-7785 Fax 506-851-7803	isaacmannt@dfo-mpo.gc.ca
Adrien Vautour Area Aboriginal Program Coordinator	133 Church Street Antigonish Mall Antigonish, NS B2G 2E3	902-863-5670 Fax 902-863-5818	VautourA@dfo-mpo.gc.ca
Brian Francis Area Aboriginal Coordinator	P.O. Box 1236 Charlottetown, PE	902-368-0740	francisb@dfo-mpo.gc.ca
Tara Perley Levi Aboriginal Program Coordinator	3267 Main Street PO Box 3420 Tracadie-Sheila, NB E1X 1G5	(506) 395-7721	PerleyT@dfo-mpo.gc.ca
Kim Theriault-Jean Resource Management Officer	3267 Main Street PO Box 3420 Tracadie-Sheila, NB E1X 1G5	(506) 395-7765	TheriaultK@dfo-mpo.gc.ca
Victor B Gionet Consultant	PO Box 5030 Moncton, NB E1C 9B6	506-851-7258	gionetv@dfo-mpo.gc.ca
MARTIMES REGION			
NAME	ADDRESS	POINT OF CONTACT	EMAIL
Kathi Stewart Regional Manager, Aboriginal Fisheries	Marine House PO Box 1035 Dartmouth, NS B2Y 4T3	902-426-4011	StewartK@mar.dfo-mpo.gc.ca
Linda Hunt A/Area Aboriginal Program Coordinator	Marine House PO Box 1035 Dartmouth, NS B2Y 4T3	(902) 426-9011	HuntL@mar.dfo-mpo.gc.ca
Jeff Purdy Aboriginal Coordinator	215 Main Street Yarmouth, NS B5A 1C6	(902) 742-6827	PurdyJJ@mar.dfo-mpo.gc.ca
Anne Harrington Aboriginal Programs Coordinator	203 Water Street St Andrews, NB E5B 1B3	(506) 529-5850	HarringtonA@mar.dfo-mpo.gc.ca
Vera F. Pierro Aboriginal Program Coordinator	PO Box 1085 1190 Westmount Rd Sydney, NS B1P6J7	902-564-2976	pierrov@mar.dfo-mpo.gc.ca
QUEBEC REGION			
NAME	ADDRESS	POINT OF CONTACT	EMAIL
Daniel Gagnon Director	104 Dalhousie St Québec, QC G1K 7Y7	418-648-5883	gagnond@dfo-mpo.gc.ca
Robert Fibich Coordinator	104 Dalhousie St Québec, QC G1K 7Y7	418-648-4566	fibichr@dfo-mpo.gc.ca
Sylvio Coulombe Aboriginal Fisheries Coordinator	104 Dalhousie St Québec, QC G1K 7Y7	418-368-6818 Ext 246	coulombes@dfo-mpo.gc.ca
HEADQUARTERS			
NAME	ADDRESS	POINT OF CONTACT	EMAIL
Kevin Fram Director Special Projects Aboriginal Policy and Governance	200 Kent Street Mail Station 13N194 Ottawa, ON K1A 0E6	613-993-3096	framk@dfo-mpo.gc.ca
Gwen Martel Program Officer	200 Kent Street Mail Station 13N194 Ottawa, ON K1A 0E6	613-990-0089	martelg@dfo-mpo.gc.ca
Kelly Zappitelli Program Officer	200 Kent Street Mail Station 13N194 Ottawa, ON K1A 0E6	613-991-0451	zappitellike@dfo-mpo.gc.ca