

CCAC National Workshop
Tri-Agency Financial Monitoring Review and
Research with Animals
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Agenda

- Objectives of a financial monitoring review
- Agency requirements – MOU Schedule 3 and Requirements for certain types of research
- Approach of the Financial Monitoring Team (FMT)
- Questions

Objectives of a Financial Monitoring Review

- Review the effectiveness of policies, controls and systems in place for the administration of grant and award funds, including compliance with ethics requirements
- Ensure that researchers use their funds in accordance with the Agencies guidelines
- Assess if researchers are well supported by the Institution and have the tools to properly manage their funds
- Share and disseminate information on guidelines and expectations for financial accountability

Agency Requirements

MOU Schedule 3

- Hold a valid Certificate of Good Animal Practice (GAP)
- Release research funds to researchers only after the IACC has approved the research
 - review can be formal review of the detailed protocol or a two-stage process (in-principle)
- Research maintains IACC approval for the duration of the project
 - annual renewal of protocols
- Inform Agency if IACC approval for a project is not obtained within six months of the award date

Requirements con't

- Suspend funding for a research that is found to contravene the guidelines or policies of the CCAC and inform Agencies if suspension is more than 3 months

Other requirement (NSERC/SSHRC only)

- Institution should inform the Agency when the research changes enough to warrant certification (emerging)

FMT Approach

- Review questionnaires received from the Institution to determine whether it has the appropriate processes in place
 - Risk Assessment and Review and Issues
- Meet with appropriate personnel at the Institution to review the processes
 - members of the IACC or Animal Care Coordinator
- Confirm that the Institution has a valid GAP certificate
- Conduct a review of certification files to validate the processes
- Communicate findings to the Institution
 - at the end of the financial monitoring review
 - in the financial monitoring review report

FMT Approach con't

- Institution provides detailed action plan in response to recommendations
 - measures to be taken
 - timelines for implementation
- Inform Agencies' Ethics Coordinators of findings
- Report to Agencies' Senior Management



Questions ???