

## Memorandum

**To:** Our Research Community

**From:** Deanne Babcock, Director, Research Finance

**Cc:** Janice Deakin, Vice President, Research (A)  
Lynn Logan, Associate Vice President, Financial Services  
Dan Sinai, Associate Vice President, Research (A)

**Date:** September 20, 2012

**Re:** Tri-Council Findings and Recommendations for Managing Research Funds

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In February 2011 the Tri-Councils (NSERC, CIHR, SSHRC, NCE and CRC) conducted a monitoring visit at Western to assess the administrative and financial controls in place for managing agency funds in accordance with their guidelines. The final report was received in August 2012 and contained several findings and recommendations pertaining to the following:

- Signing authorities
- Roles and responsibilities, including segregation of duties
- Supporting documentation for travel, hospitality and internal charges
- Approval of travel expenses incurred through preferred vendors and PCards
- Employee benefit charges
- Annual progress reports for student award recipients

Several of these findings have already been addressed and more work is currently under way on the remaining items. Updates will be provided as our group enhances current processes and/or implements new practices to ensure Western's compliance with the Tri-Council's requirements. Our first update is included with this communication.

Please feel free to contact me directly with any questions.