Overview of recent CFI changes to the Policy and Program Guide

Webinar presented on October 22, 2013
Agenda

- Chapter 1
  Setting the context

- Chapter 2
  Overview of recent changes

- Chapter 3
  Questions and discussion
Chapter 1
Setting the context
CFI awards

# of awards

86%

14%

CFI $

> $1M

14%

86%

< $1M
Off the rack, or tailored?

One-size-fits-all approach?

Tailored approach?

OR
Chapter 2
Overview of recent changes
Changes are being made on three fronts

1. Working smarter and reducing burden
   - Transitioning to risk-based management
   - Shift to a portfolio-management approach
   - Revisiting other requirements and practices

2. Addressing challenges to ensure we remain highly accountable

3. Continuously improving our practices to ensure we achieve expected results
Transitioning to risk-based management

- Tolerance for risk (6.1)
- Tailored oversight practices
- Threshold of “$1 million CFI contribution”

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<thead>
<tr>
<th></th>
<th>PPG</th>
<th>&lt;$1 million</th>
<th>&gt;$1 million</th>
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<tbody>
<tr>
<td>Disbursements</td>
<td>6.3.3</td>
<td>one (at finalization)</td>
<td>several (as forecasted)</td>
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<tr>
<td>Frequency of financial reporting</td>
<td>6.7.1</td>
<td>every two years</td>
<td>annual</td>
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Transitioning to risk-based management (cont’d)

- Streamlined award finalization (6.2.5)
  - Finalization documents
  - Updated budget/itemized list
  - Prior approval of infrastructure changes
Transitioning to risk-based management (cont’d)

• Tool for Risk Assessment and Management (TRAAM) (6.1)

• Monitoring visits and audits (6.9)
End result
More effective and efficient oversight mechanisms
Shift to a portfolio-management approach

Allows institutions and the CFI to:

✓ Improve decision making
✓ Facilitate optimal implementation and efficiencies
✓ Enhance infrastructure sustainability
Changes to facilitate a portfolio-management approach

- Considering projects as part of a portfolio (5.2 and 6.1)
- Increased flexibility to make acceptable infrastructure changes (6.6.1)
- Fewer amendment requests
Changes to facilitate a portfolio-management approach (cont’d)

✓ Increased flexibility of CFI funding share up to 40% (6.3.1 and 6.3.5)

✓ Now allowed: Cost allocation of a single item shared between projects (6.4.3)

✓ Use of savings to cover cost overruns (6.6.4)

✓ Basket purchases (6.4.3)
Revisiting other requirements and practices

• High Performance Computing (4.6.4): new section

• Infrastructure use (4.2)

• Section 5: Application & review process

  – Governing principles for reviewers (5.4.1): harmonized policy with CIHR, NSERC and SSHRC
Revisiting other requirements and practices (cont’d)

- Procurement practices (6.4.1)
- Retention period for supporting documentation (6.4.3)
Revisiting other requirements and practices (con’t)

• **Section 7: Evaluation and outcome assessment**
  – Elimination of the Institutional reports
  – Project Progress Reports (7.3.1)

• **Section 8: Communicating research impacts**
  – Harmonized public communications policy with CIHR, NSERC, and SSHRC
Remaining highly accountable

- In-kind contributions (6.5)
- Fair market value
- Significant in-kind contributions
- Institutions involved at the outset
Continuously improving our practices to ensure we achieve expected results

- Greater emphasis on sustainability
  - Overall O&M needs (6.8)

- Improving linkages with the private sector
  - The CFI Research Facilities Navigator
Chapter 3
Questions and discussion
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