

Tri-Agency Grants Management Solution (TGMS) Industry Day

Welcome



SSHRC  CRSH



Government
of Canada

Gouvernement
du Canada

Canada 

Housekeeping

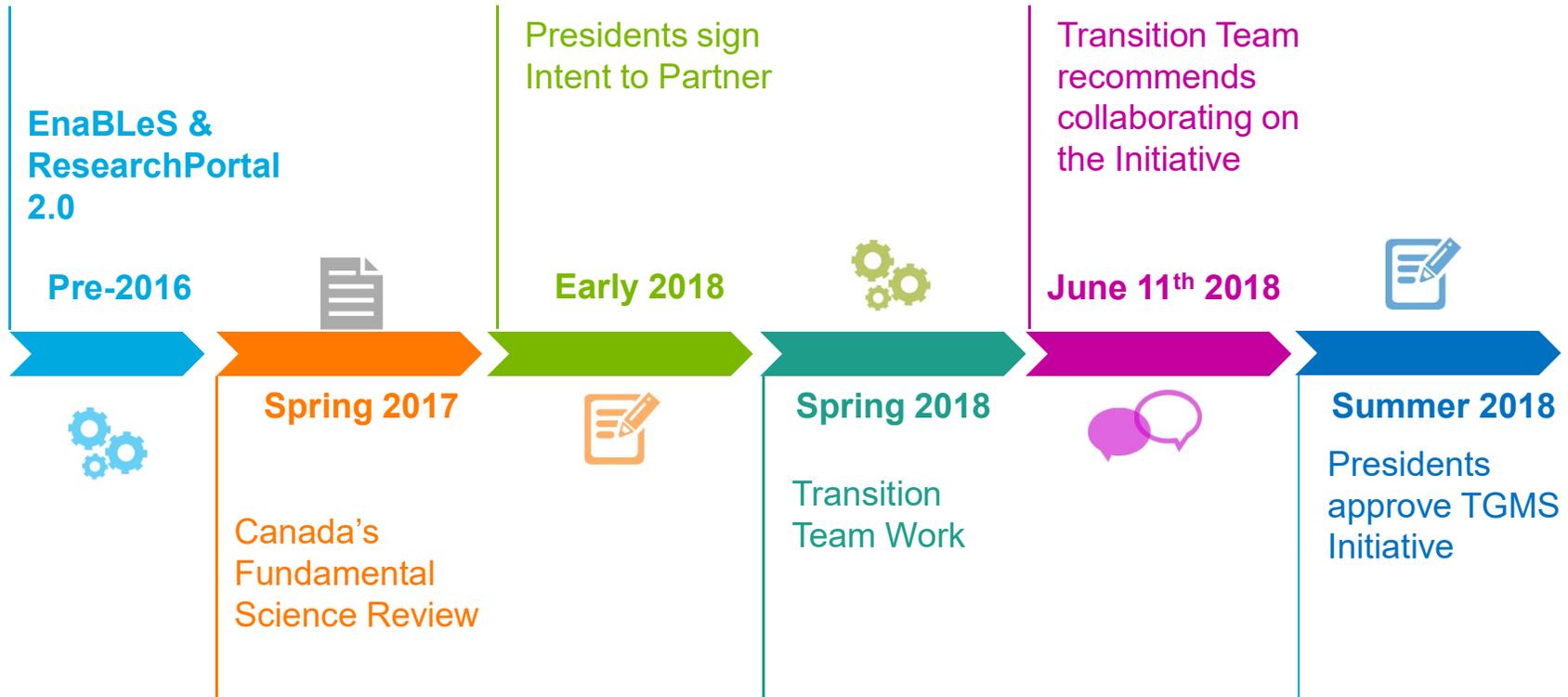
Before we begin....

- Emergency Exits
- Presentation Material
- Official Language of Your Choice
- Audience Questions

Outline –

1. Tri-Agency Journey Thus Far
2. Tri-Agency Landscape Overview
3. TGMS Initiative Overview
4. TGMS Procurement Approach
5. Questions/Discussion

Tri-Agency Grants Management Renewal Journey thus far



Who are the Tri-Agencies?

Canada's three research granting agencies:

- Canadian Institutes of Health Research (CIHR)
- Natural Sciences and Engineering Research Council (NSERC)
- Social Sciences and Humanities Research Council (SSHRC)

Together, they manage approximately \$3 billion annually in grants and awards administered by institutes and universities across the country.



Canadian Institutes of Health Research



\$1 billion in annual investments to provide financing for 13,000 researchers and trainees*

Approximate number of applications received/yr
15,000

Approximate number of active peer reviewers/yr (including external assessors)
13,000

- Canada's health research investment agency
- Composed of 13 Institutes, to provide leadership and support to health researchers and trainees
- Mandate to excel in the creation and translation of knowledge into improved health/healthcare for Canadians

*Source: 2017-18 CIHR Infographics, <http://www.cihr-irsc.gc.ca/e/50217.html>

Natural Sciences and Engineering Research Council of Canada



\$1.2 billion in annual investments to provide financing for over 41,000 talented students and professors at universities and colleges*

Approximate number of applications received/yr
18,000-20,000

Approximate number of peer reviewers/yr
17,000-20,000

- NSERC investments deliver discoveries—valuable world-firsts in knowledge
- Investments enable partnerships and collaborations that connect the makers and users of discoveries.
- Provide scholarships and hands-on training experience for more than 30,000 post-secondary students and post-doctoral fellows.

*Source: 2016-17 NSERC Dashboard, <http://www.nserc-crsng.gc.ca/db-tb/index-eng.asp>

Social Sciences and Humanities Research Council of Canada

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\$388.2 million in annual investments to provide financing for 13,000 researchers and trainees*

Approximate number of applications received/yr*
12,500

Approximate number of peer reviewers (internal and external)
4,300

- Responsibility is to “make Canada a world leader in social sciences and humanities research and research training.”
- Supported research enhances our understanding of modern social, cultural, technological, environmental, economic and wellness issues.
- Supports a research community representing roughly 45 per cent of Canada’s university researchers.
- SSHRC houses the Tri-agency Institutional Programs Secretariat responsible for the delivery of over \$1Billion over a series of tri-agency programs.

*Source: 2017-18 SSHRC Facts and Figures, http://www.sshrc-crsh.gc.ca/about-au_sujet/facts-faits/index-eng.aspx

Tri-Agency Institutional Programs Secretariat (TIPS)

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\$1.36 Billion in annual investments to provide financing for approximately 2,200 researchers and trainees

Approximate number of applications received/yr
2,000

Approximate number of peer reviewers (internal and external)-
3,600

- There are a suite of programs delivered on behalf of the Tri Agencies (e.g. Canada Research Chairs, Banting Postdoctoral Fellowships, New Frontiers in Research Fund, etc.)
- These Programs cross the mandates of the Tri-Agencies

Tri-Agency Collaborations

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- The Tri-Agencies collaborate on a suite of joint policies such as Ethical Conduct of Research Involving Humans, Open Access to Publications, Tri-Agency Guide on Financial Administration.
- The Tri-Agencies collaborate on support functions (e.g. Secretariat for the Responsible Conduct of Research, Audit, Administering organization monitoring, etc.)
- The Tri-Agencies collaborate to tackle emerging issues such as Equity, Diversity and Inclusion, Digital Data Management, etc.

What is the TGMS Initiative?

- The Tri-Agency Grants Management Solution (TGMS) Initiative aims to:
 - Resolve limitations to existing grants management systems which
 - are unresponsive to changing needs of the research community
 - have difficulty adapting to the agencies' evolving business needs

 - Provide
 - a solution for all three Agencies
 - a modern look/feel that meets the standards of excellence expected by researchers and Tri-Agency staff
 - a more efficient, interoperable, accessible and usable solution

■ TGMS Design Principles

The TGMS design will:

Take a client-centric view: engage research community early and often

Be co-designed with internal and external stakeholders

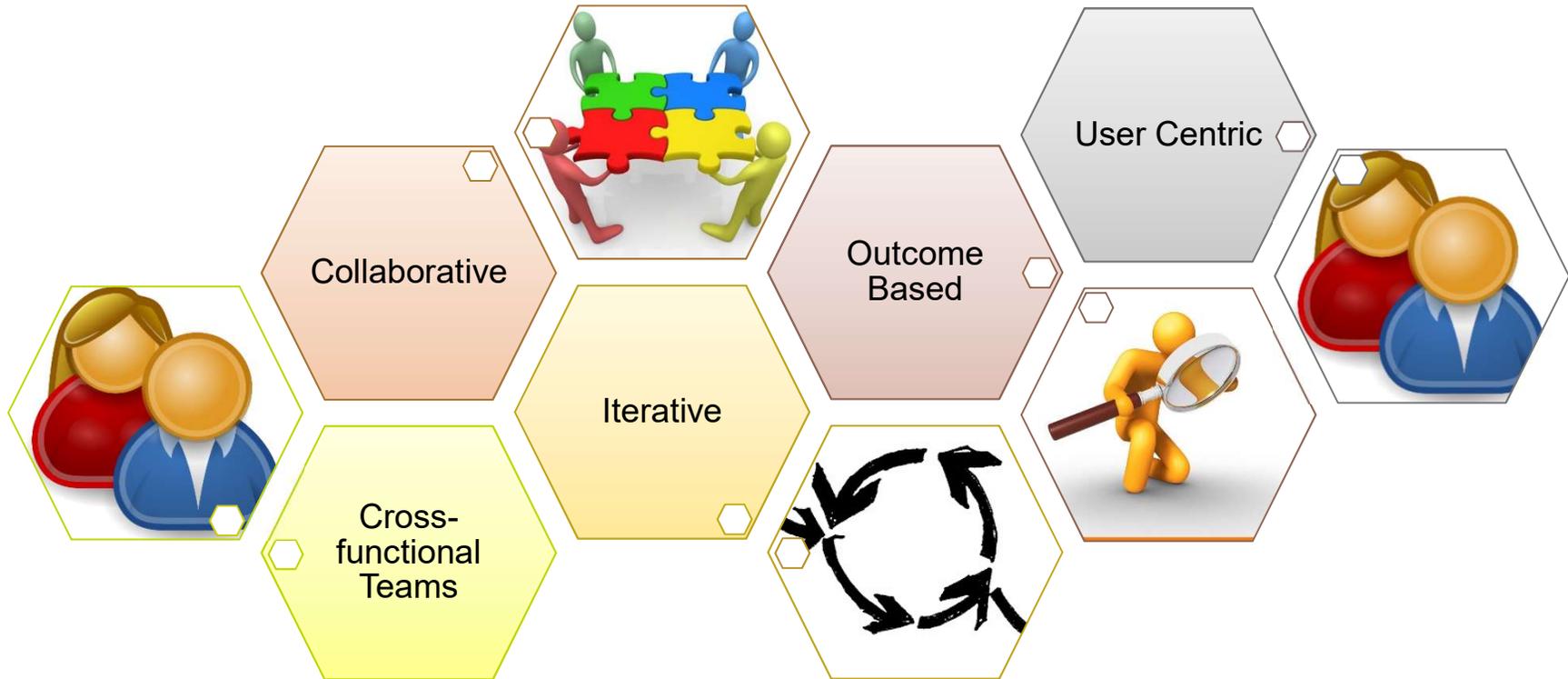
Leverage industry knowledge

Product-based approach: delivering business capabilities iteratively

Focus on advancing the delivery of the TGMS business outcomes

■ AGILE PROCUREMENT (PSPC)

Agile Procurement Factors



Gate 1 – Notice of Proposed Procurement (NPP)

NPP

What	<p>A notice to inform Industry of a proposed procurement and planned engagement activities. The NPP informs industry by providing:</p> <ul style="list-style-type: none">• A high-level overview of the TGMS requirement• An overview of the potential options for the procurement and estimated schedule• Industry Engagement activities, including an industry day and a series of one-on-one meetings to:<ul style="list-style-type: none">• obtain feedback with respect to common themes, opportunities, challenges, risks and other factors that would shape the scope and substance of subsequent procurement process;• clarify for both industry and Canada the viability and potential risks associated with various options for moving forward; and• establish the requirements for a subsequent pre-qualification (if applicable) and solicitation process.• Next steps
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Gate 2 – Pre-qualification *(to be determined)*



Pre-qualification

What

Canada is considering implementing a pre-qualification process in the TGMS Initiative procurement process. The pre-qualification process could involve the use of existing procurement instruments or conventional pre-qualification processes.

For example, Canada may:

- leverage existing procurement instruments previously established by Canada to select a supplier from a list of qualified/pre-qualified suppliers to satisfy a portion of the requirement; and/or
- develop a conventional pre-qualification process, such as an Invitation to Qualify (ITQ), to qualify suppliers to participate in one or more subsequent solicitation processes to satisfy the requirement (or a portion of it). Canada may engage Qualified Suppliers, established through an ITQ, in a Refine and Review Requirements process for purposes of clarifying, revising, refining and prioritizing requirements and expectations for a seamless grants and awards management solution.

Gate 3 - Request for Proposal (RFP) *(to be determined)*



What	<p>A bid solicitation inviting suppliers to propose a solution to a problem, requirement or objective, where the selection of the contractor is based on the effectiveness of the proposed solution. If Canada proceeds with an ITQ, the RFP will be limited to suppliers that qualified through the ITQ.</p> <p>The proposed RFP will set out relevant materials including but not limited to:</p> <ul style="list-style-type: none">• The overall procurement process;• The RFP Statement of Requirements (SOR), including phased implementation approach for grants and awards programs;• The technical evaluation criteria and evaluation procedures associated with the proposed solution including evaluation of a scripted demonstration;• The terms and conditions of the resulting contract;• The process for evaluation of the Bidder's financial response;• The basis of contractor selection. <p>In addition, the evaluation process may incorporate the Phased Bid Compliance process.</p>
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Proposed Master Schedule

- In summary:
 - Depending upon the procurement timeline it is expected that the TGMS implementation and onboarding work would start following contract award.
 - Wave 1 grants and awards programs and related services will be initially migrated onto the new solution, tested and operating by Q1 of the 2021/22 fiscal year.
- Currently the estimated Procurement Timeline (which is subject to change) is as follows:
 - Industry Day – August 23, 2019
 - One-on-one meetings with interested suppliers following industry day – September 4, 2019 – September 16, 2019
 - Pre-qualification – Q3/4 2019/20 (to be determined)
 - RFP - Q1 2020/21 (to be determined)
 - Contract award - Q4 2020/21 (to be determined)

Questions

- Wrap-up and discussions on the overall content.
- Are we missing something?
- Do you understand the context?
- Thoughts on timelines?
- How should we engage with you and other stakeholders throughout the initiative?
- Next Steps



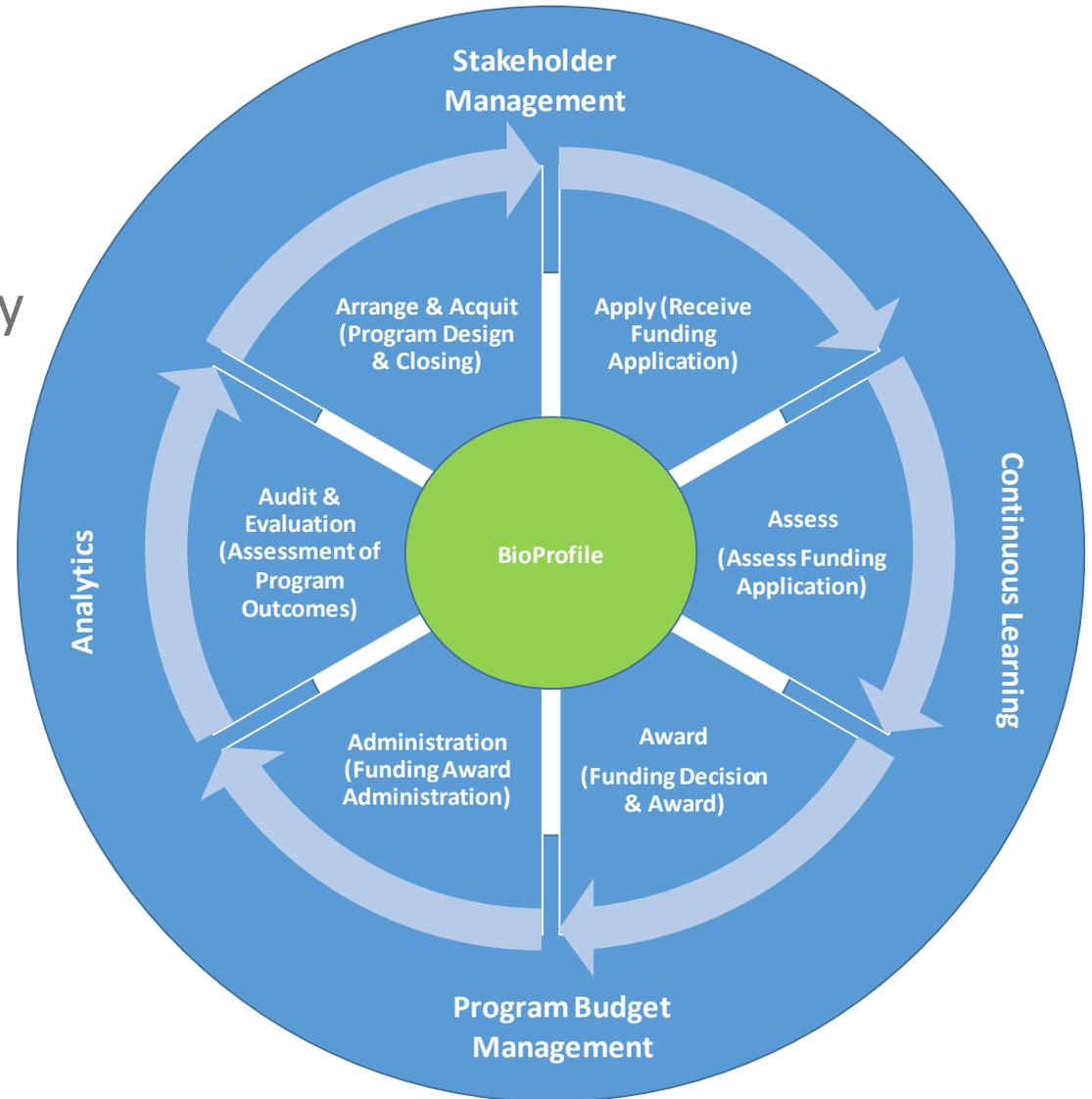
To ask questions...

- Open www.slido.com
- Enter the event code to join the conversation - #U729
- Type questions throughout the event.

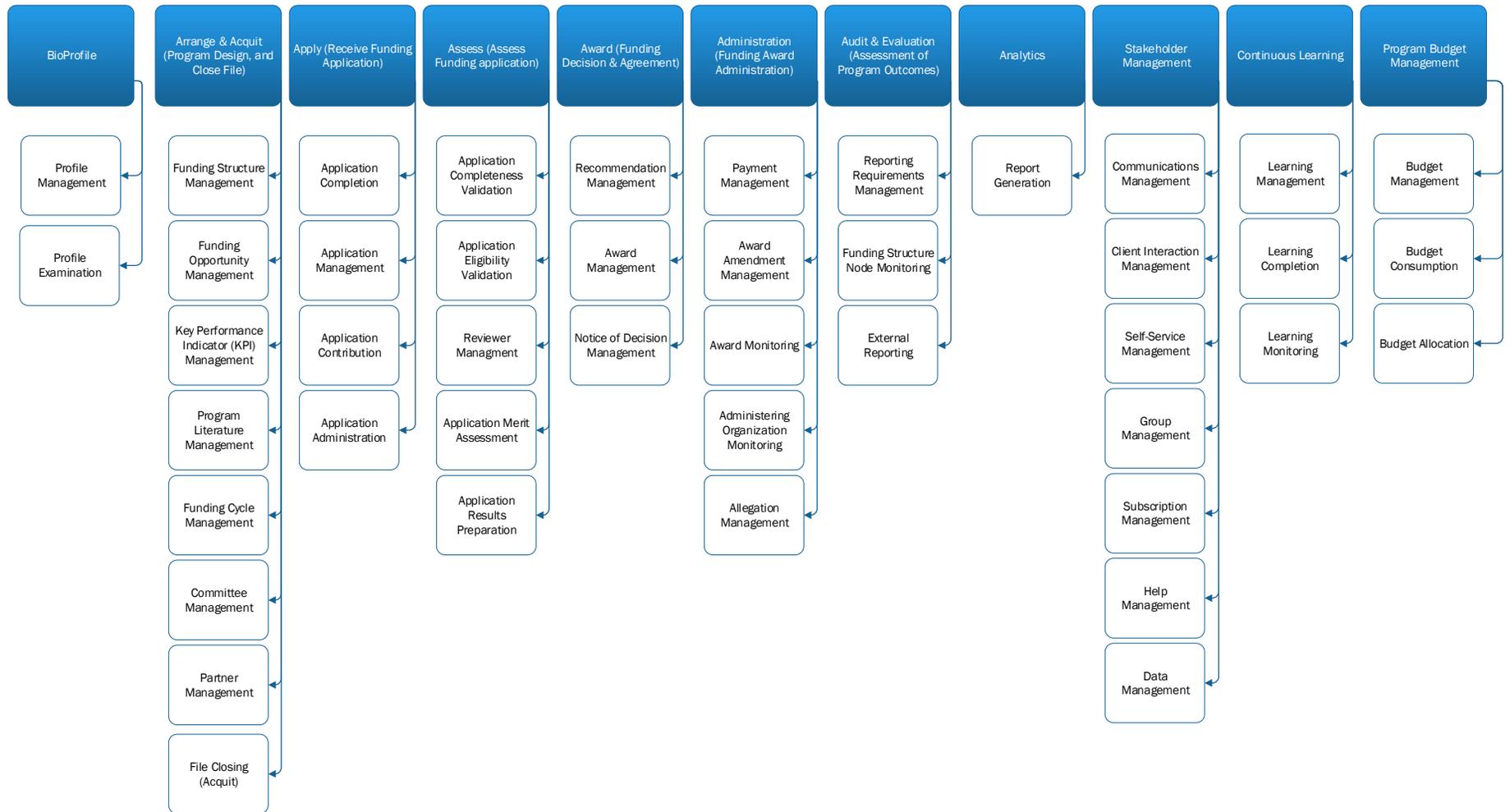
- All enquires and other communications related to the NPP must be directed to the Contracting Authority as follows:
- Heather Wilson
Public Works and Government Services Canada
10 rue Wellington
Gatineau, Quebec
K1A 0S5
Phone: (819) 639-0671
Email: Heather.Wilson@tpsgc-pwgsc.gc.ca

Annex A – Business Capability Details

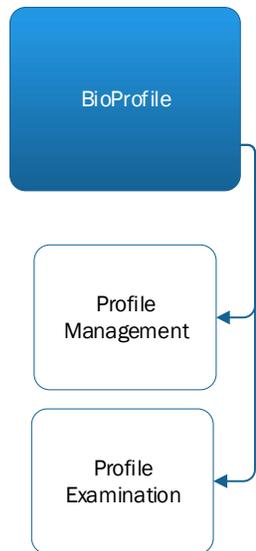
The business capability model includes core capabilities surrounded by supporting capabilities



Business Capabilities Level 2



Bio Profile



BioProfile

- To access the grants management system, users need to complete a BioProfile containing personal and professional information, and to update it as required

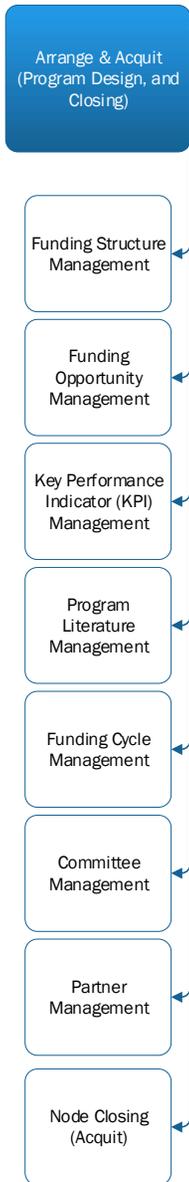
Profile Management

- The ability for a user to create, update or maintain their profile (such as updating contact information, etc.)

Profile Examination

- The ability for users, agency staff and peer reviewers to examine user profiles, for purposes such as peer review, peer reviewer recruitment, eligibility validation, etc.

Arrange & Acquit



Arrange & Acquit

- These capabilities enable overall program design and implementation, including closing nodes (such as Funding Opportunities) once the work is complete

Funding Structure Management

- The ability for staff to configure the funding structure for a program so that it reflects the agencies' Departmental Results Framework (DRF) and the components necessary to deliver the expected results (e.g. initiatives, funding opportunities, funding cycles, committees etc.). It also includes the ability to add new nodes (A node is a generic term used to represent any instance of a layer in the funding structure such as, program, funding opportunity, etc.) and close existing ones

Funding Opportunity Management

- The ability for staff to add or modify funding opportunity attributes such as eligibility requirements, assessment requirements, scoring model, terms & conditions, award related requirements (such as financial rules), amendment rules, appeal rules etc.

KPI Management

- The ability for staff to create and modify key performance indicators so that they can be reported against, and to attach them to different levels of the funding structure

Program Literature Management

- The ability for staff to create, modify and publish program literature for a given funding opportunity

Funding Cycle Management

- The ability for staff to configure funding cycles (an iteration of a funding opportunity) for specific funding opportunities and to change attributes of a funding cycle from previous iterations, such as (application requirements, funds available, etc.)

Committee Management

- The ability for staff to create the committees that review funding proposals, manage committee membership and structure associated data for specific funding opportunities, including participation in future engagements

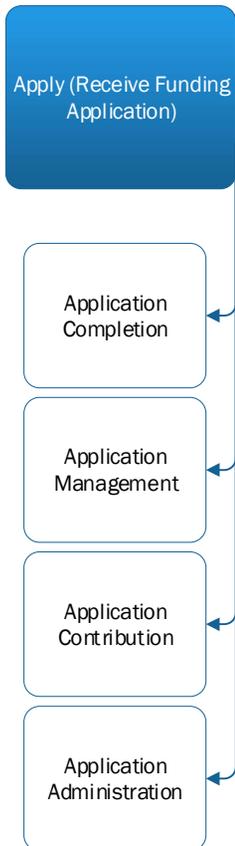
Partner Management

- The ability for staff to identify and attach partner organization(s) (and the associated collaborative agreements that dictate their contributions) with a funding opportunity. The ability for staff to establish any guidelines for application level partnering (such as eligibility, fund matching requirements, etc.)

Node Closing (Acquit)

- The ability for staff to close a funding structure node and to reallocate budgets to other funding structure nodes

Apply



Apply

- The series of capabilities relating to the submission and management of an application for funding

Application Completion

- The ability for applicants information, supporting documentation, participants (co-applicants, collaborators, partner organizations etc.) and participant's contributions to be captured and managed/modified

Application Management

- The ability for applicants to respond to notices of decision and requests for supplementary information, to evaluate lists of reviewers or to submit funding opportunity transfer requests

Application Contribution

- The ability for participants to review application content and enter the required content associated with their role within the application

Application Administration

- The ability for organization administrators (research grant officers, student liaison officers, etc.) to approve participation requests, endorse applications, request supplementary information, request revised applications, forward applications to the appropriate agency, recommend applications for funding, inform applicants of eligibility status and manage funding allocations and quotas

Assess

Assess (Assess Funding application)

Application Completeness Validation

Application Eligibility Validation

Reviewer Management

Application Merit Assessment

Application Results Preparation

Assess

- Consists of the capabilities relating to the assessment of an application, including administrative assessments (eligibility and compliance), Peer/Merit review, etc.

Application Completeness Validation

- The ability for staff to validate an application to ensure it is complete enough to proceed with subsequent assessment processes

Application Eligibility Validation

- The ability for staff to assess the eligibility of the application against the funding opportunity for which it is submitted. This includes the assessment of subject matter eligibility, participant eligibility, partner organization eligibility, institutional eligibility, regulatory eligibility and funding opportunity specific eligibility. The ability for staff (or committee executives such as chairs or scientific officers) to move applications between peer review committees within a funding opportunity and the ability to record and audit the history of transfers

Reviewer Management

- The ability for staff to invite reviewers, track their responses, match reviewers to appropriate applications based on ability to review, expertise, conflict of interest or language conflicts. The ability for staff to assign reviewers, early career researchers, or other committee participants to applications, prepare reviewer materials and present proposed reviewers to applicants (where appropriate). The ability for staff to set a meeting schedule based on the availability of the review participants or by set meeting dates, and to share the meeting logistics with the review participants

Application Merit Assessment

- The ability for review participants (including staff) to provide reports and/or scores using various scales (i.e. numbers, pass/fail or ranking model) to an external or committee review panel in preparation for an adjudication meeting. The ability for review participants to complete updates to reports following the meeting (if necessary)

Application Results Preparation

- The ability for staff to prepare preliminary and final results lists of applications reviewed for funding and the ability to distribute budget amounts or budget envelopes based on those lists or in an *ad hoc* manner. In addition, staff can capture committee feedback and present it to applicants

Award



Award

- Consists of the series of capabilities relating to examination of the results of assessment processes to create funding recommendations, and the associated agreements

Recommendation Management

- The ability for staff to: award funds to applications recommended for funding (including joint initiatives and supplements); reallocate unused budget amounts within funding structure node; communicate competition results; and manage institutional eligibility recommendations

Award Management

- The ability for staff to create awards, obtain financial approvals, manage funding and payment schedules, and update existing awards (including adjusting award amounts, or closing award if necessary)

Notice of Decision Management

- The ability for staff to activate or rescind an award, manage response to a notice of decision (or other decision document) including appeal requests and to include affiliated results (such as a priority announcement), or other decision information (such as status of a large grant, etc.)

Administration

Administration
(Funding Award
Administration)

Payment
Management

Award
Amendment
Management

Award Monitoring

Administering
Organization
Monitoring

Allegation
Management

Administration

- Consists of the capabilities relating to the monitoring of awards, the processing of amendments and the administration of funds to recipients

Payment Management

- The ability for staff to prepare payments, manage payment schedules, reconcile payment data, accommodate direct deposit requests and manage payment inquiries

Award Amendment Management

- The ability for staff to manage amendments and refunds and communicating amendment decisions to recipients

Award Monitoring

- The ability for staff and research administrators, where appropriate, to conduct progress and financial reviews, validate ongoing eligibility, manage missing reports, request and defer installments and close awards

Administering Organization Monitoring

- The ability for staff to monitor each administering organization's controls, processes and financial reporting requirements

Allegation Management

- The ability for staff to investigate, track and resolve allegations of misconduct against researchers and institutions

Audit & Evaluation

Audit & Evaluation
(Assessment of
Program Outcomes)

Reporting
Requirements
Management

Funding Structure
Node Monitoring

External
Reporting

Report
Generation

Audit & Evaluation

- All federal organizations are required to perform and publish audits and evaluations, perform corporate reporting, and provide proactive disclosure. These are audits of management practices and activities, such as policy compliance, and evaluations of programs and initiatives to assess relevance, performance and value for money

Reporting Requirements Management

- The ability for staff to define the reporting requirements for any level of the funding structure

Funding Structure Node Monitoring

- The ability for staff to generate reports to evaluate the effectiveness of the relevant funding structure node based on key performance indicators (KPIs) and/or application data or for the purpose of proactive disclosure

External Reporting

- The ability for staff and/or stakeholders to complete reports (and associated documents and messages), retain report templates and data elements for a variety of functions and audiences

Report Generation

- The ability for staff to construct external reports and surveys, to request data from external stakeholders and receive and process their responses

Analytics

Analytics

Advanced Data Querying

Advanced Analysis

Data Visualization

Results Sharing

Report Correction

Analytics

- In addition to the reporting and monitoring outlined above, staff and stakeholders (including other government departments) also need to generate other reports and conduct advanced analyses of data within or among nodes within the funding structure to inform decision-making

Advanced Data Querying

- The ability for staff and/or stakeholders to run complex queries on large datasets quickly and in real-time, including the ability to restrict who can query what based on role

Advanced Analysis

- The ability for staff and to conduct data analyses, whether using inferential statistics, modeling or machine-driven techniques or the ability to connect to software such as R or Python to do so

Data Visualization

- The ability for staff and/or stakeholders to create, modify and customize data visual objects / advanced graphics (graphs, maps, animations) based on advanced queries and data analyses

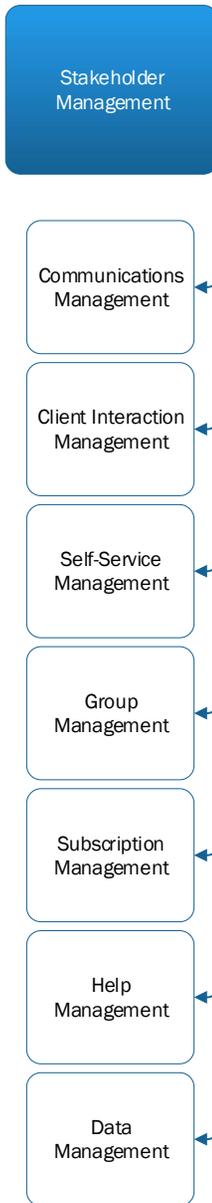
Results Sharing

- The ability for staff to share data and/or results of data analyses, securely while protecting privacy, with internal and external stakeholders; ability for external stakeholders to explore and conduct analyses while protecting privacy

Report Correction

- The ability to apply rules base correction to data/reports for staff without modifying underlying data

Stakeholder Management



Stakeholder Management

- Stakeholder management includes a range of capabilities that support information sharing and interactions within and outside of the agency(s)

Communications Management

- The ability for staff to create and share information with stakeholder (s) (either on an individual or group basis) internal or external to the organization

Client Interaction Management

- The ability for staff to track and record details of client interactions

Self-Service Management

- The ability for stakeholders to interact with any of the components of the Grants Management Solution

Group Management

- The ability for staff to create groups of people for targeted communications

Subscription Management

- The ability for individuals (internal or external) to opt-in or opt-out of receiving different types of communications

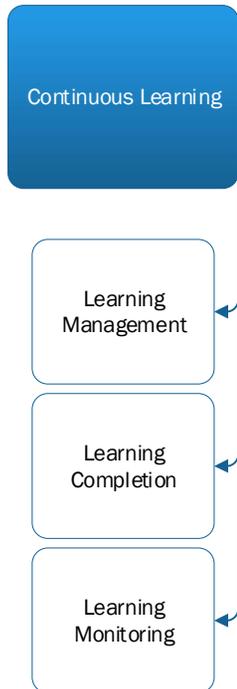
Help Management

- The ability for staff to provide users with assistance/support tailored to their roles and the processes that they are attempting to complete, and provide follow-ups as necessary

Data Management

- The ability for staff to manage, import, export and archive data for all categories and entities (such as person, role, organization, award, etc.), including the ability for staff to identify and action changes to core business data

Continuous Learning



Continuous Learning

- Continuous learning includes of the series of capabilities related to the creation, consumption and monitoring of learning materials for stakeholders based on their role(s). This includes staff as well as applicants, reviewers, advisory committee members and others

Learning Management

- The ability for staff to create learning materials for a specific, or multiple stakeholder roles (such as applicants, review participants, advisory committee members, student liaison officers, research grants officers, etc.)

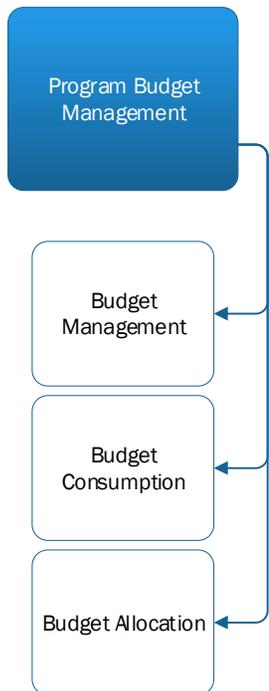
Learning Completion

- The ability for stakeholders to complete relevant learning activities relating to one or multiple roles in which they are engaging with the agency(s)

Learning Monitoring

- The ability for staff, application participants, or other stakeholders to monitor the completion of their associated learning activities

Program Budget Management



Program Budget Management

- This series of capabilities supports the management and allocations of budgets across the Agencies' funding structures

Budget Management

- The ability for staff to configure budgets according to the funding structure, make changes to existing budgets, make transfers from one budget to another and maintain budget approval authorities. It also includes the ability to link and modify additional budgets associated with funding opportunities/cycles (such as partner contributions)

Budget Consumption

- The ability for staff to distribute unused budgets to create new awards, change recommendations or update existing awards

Budget Allocation

- The ability for staff to reallocate unused budget amounts to other budgets within the funding structure