Canadian Research Knowledge Network

Réseau canadien de documentation pour la recherche

Mise à jour sur le Comité des finances et de la vérification

21 octobre 2020

Ordre du jour

- Introduction
- Réalisation du CFV
- Priorités imminentes
- Conclusion

Introduction

Comité des finances et de la vérification

Membres

Denis Cossette, trésorier (chercheur/administrateur)
Chef de la direction financière, Université Concordia

Dale Amerud, membre non désigné
Strategic Business Advisor, Finance, University of Saskatchewan

Bernard Bizimana, membre du conseil d’administration
Directeur de la bibliothèque, HEC Montréal

Andrew Coward, membre non désigné
Treasurer, University of Victoria

Kemi Kufuor-Boakye, membre non désigné
Senior Financial Officer, University of Alberta

Mandat

- Surveiller la santé et la viabilité financière
- Recommander des contrôles internes
- Repérer les risques et superviser les stratégies de gestion du risque
- S’assurer que le processus de vérification indépendante est respecté

Activités principales

- Élaborer et maintenir la politique financière
- Préparer le budget et les prévisions budgétaires
- Appuyer et analyser les cotisations des membres
- Gérer les risques
- Administrer les services de taux de change
- Encadrer la vérification annuelle

Réalisations du CFV

Gestion du risque

Catégories de risque

COM – Risque de conformité **EXT – Risque externe** **FIN – Risque financier** **GOV – Risque de gouvernance**	**IT – Risque informatique** **OPS – Risque opérationnel** **REP – Risque de réputation** **STR – Risque stratégique**

- Ordre de priorité déterminé par l’impact probable et potentiel
- Sommaire sur la carte thermique des 5-6 risques principaux pour le conseil d’administration
- Document évolutif – processus d’évaluation annuelle

Gestion du risque

CRKN Risk Framework
Heatmap
2020 September

Responsibility: Staff member is the risk mitigation strategy lead, Board/committee responsible for oversight

CODE	RISK DESCRIPTION	DETAILS AND CONTRIBUTING FACTORS	A IMPACT	B PROB.	A+B RISK LEVEL	STAFF	BOARD	CSC	EC	FAC	PAC
FIN2	Failure to secure sufficient cash flow to meet obligations/fund objectives.	CRKN does not have the cash flow to meet its FX commitments if several large member were unable to pay their license invoices. CRKN's credit line (never used) has a $5M limit.	4	1	5	D OPS	x			x	
FIN3	Loss of funds on deposit or in transit (cyber-risk, unauthorized access, fraud)	CRKN does not have the facility to absorb a significant loss of funds. CRKN's policy includes $20,000 in cyber-security insurance.	5	1	6	D OPS				x	
FIN4	Staff error with respect to banking services	A significant error - particularly in booking forward contracts or setting up wire payments - could be as significant as fraud or theft	3	1	4	D OPS				x	

Gestion du risque

CRKN Risk Framework
Heatmap
2020 September

CODE	RISK DESCRIPTION	DETAILS AND CONTRIBUTING FACTORS	A+B RISK LEVEL	Mitigation (Prevention, Detection, Response)	Potential Mitigation Strategies
FIN2	Failure to secure sufficient cash flow to meet obligations/fund objectives.	CRKN does not have the cash flow to meet its FX commitments if several large member were unable to pay their license invoices. CRKN's credit line (never used) has a $5M limit.	5	**Prevention:** Proactive billing and payment planning by licensing and finance staff (practice of invoicing members 60-75 days in advance of publisher payment date), future dated payments, line of credit **Detection:** Daily bank reconciliation and receivables monitoring, FX commitment processes **Response:** Delay payments to publishers/suppliers, borrow funds (credit line), asking members for funds (or to co-sign)	
FIN3	Loss of funds on deposit or in transit (cyber-risk, unauthorized access, fraud)	CRKN does not have the facility to absorb a significant loss of funds. CRKN's policy includes $20,000 in cyber-security insurance.	6	**Prevention:** Big-5 bank, preference for electronic payment and deposit (no cash in CRKN offices), checks deposited daily, two-factor authentication and separation of signing authority on BMO platform **Detection:** Daily bank reconciliation, Bank of Montreal back office, monthly statements and AR review, staff holidays and cross-training **Response:** Coordinate with BMO to stop or reverse fraudulent payments and withdrawals, investigations, police involvement	Develop incident response plan for cybersecurity.
FIN4	Staff error with respect to banking services	A significant error - particularly in booking forward contracts or setting up wire payments - could be as significant as fraud or theft	4	**Prevention:** Training and oversight, separation of duties, multiple signing authorities (electronic signatures) required, controls and limitation on who can commit organization, role of ED in committing organization, financial controls **Detection:** monthly financial process, staff/ED review **Response:** Good faith approach to counterparty	Increase diversification and cross-training of staff

Cybersécurité

- Consultations auprès d’experts des autres organisations
- Analyses comparatives
- Auto-évaluations
- Élaboration de politiques
- Perfectionnement du personnel
- Examen annuel

Cybersécurité

BITSIGHT

Security Ratings Report

September 8, 2020

Canadian Research Knowledge Network

Government/Politics

crkn-rcdr.ca

78 IP addresses

CRKN provides interconnected access to the world's research and to Canada's documentary heritage content. The organization was founded in 2004 and is headquartered in Ottawa, Canada.

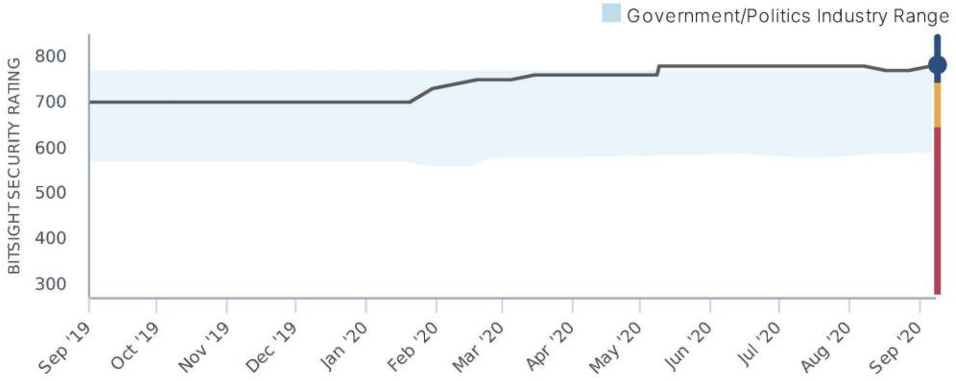
Security Ratings

BitSight Security Rating

780

Our ratings measure a company's relative security effectiveness.

ADVANCED	900–740
INTERMEDIATE	740–640
BASIC	640–250



The Security Rating for Canadian Research Knowledge Network has varied from **700** to **780** over the past 12 months. The blue band represents the range of ratings for all companies within the Government/Politics industry. Outliers are excluded. Sudden drops in ratings can be due to publicly disclosed security incidents, an increase in observed events, file sharing activities, or poorly configured diligence records.

Refonte budgétaire

- Contrôler de près les recettes et le coût des principaux programmes
  - Licences
  - Numérisation
  - Préservation et accès
- Évaluer la pérennité
- Prévoir au budget des réinvestissements
- Assurer la viabilité et le fonds de PACP

Priorités imminentes

Priorités imminentes

- Mandat élargi : cybersécurité et gestion de l’information
- Analyse des coûts pour déterminer la tarification des services
- Mesures de viabilité
  - Possibilités de financement externe
- Préparation du budget 2021-2022
  - Impacts de la pandémie
  - Prévisions pluriannuelles

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Merci !

Dale Amerud	Membre du CFV et Strategic Business Advisor, Finance, University of Saskatchewan
Ken Blonski	Directeur des opérations, RCDR
Denis Cossette	Trésorier du RCDR et Chef de la direction financière, Université Concordia

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