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MANUAL OF GOOD PRACTICES
OBSERVED DURING MONITORING VISITS

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MANUAL OF GOOD PRACTICES OBSERVED DURING MONITORING VISITS

Introduction

During the past years, the NSERC/SSHRC Financial Monitoring team conducted many financial monitoring visits, some to large universities, others to smaller ones. This has enabled us to glean some very interesting information about the various systems and procedures being used to administer NSERC and SSHRC grants.

With the universities' permission, we have compiled this collection of what we consider to be good, efficient practices that help to ensure that the Councils' funds are well managed. We fully recognize that a procedure that works well in one university may not be as effective or efficient elsewhere because of differences in organizational structure, systems, etc. If you wish to know more about a specific item, contact the Research or Business Offices of the relevant institution.

Please note that this collection is far from exhaustive. Many good practices likely exist in universities that were not visited. We intend to update this manual periodically and would like your input. As we are planning many visits in the coming months, the next update of the manual will probably be released by the end of this fiscal year. Also, please contact us if some information in this manual does not reflect the reality of your institution. If you feel that you may have a particular procedure that would be useful to others, please share it with us.

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1.0 ORGANIZATIONAL STRUCTURE

One-Stop-Shop Approach

The Office of Research at the University of Waterloo encompasses research services, ethics review and the financial administration of grants. The units that carry out these activities are in neighbouring offices and report to the Vice-President (Research).

This client-oriented structure promotes on-going exchange of information between the three units, and facilitates the development of efficient procedures which, in our opinion, helps to provide excellent and consistent support to researchers involved in the administration of NSERC and SSHRC grants.

Controlled Decentralization

The University of Ottawa and Université Laval have decentralized the day-to-day responsibilities of administering grants to departmental units. One advantage of decentralization is that it brings the administrative and financial processes and the expertise closer to grantholders, reducing transaction time and facilitating a better understanding of their needs. Over time, however, it can result in different interpretations leading to inconsistent applications of policies and procedures. To prevent this situation from happening at Ottawa and Laval, a key function of the Financial Services group is to provide training and support to the departmental representatives and to ensure the consistent application of the university's and Councils' policies and regulations.

2.0 CONTROL FRAMEWORK

2.1 *Internal Control*

Building the Councils' Rules into the Financial Information System

The Councils' rules and policies on the eligibility of expenses are built into the information system at Université Laval; for instance, for some types of grants, certain codes cannot be entered into the system. Backed by a verification program that ensures that expenses are coded correctly (based on a sampling of transactions), this functionality helps to ensure adherence to the Councils' policies.

Letter of Agreement for Transfer of Funds to another University

Since the publication of the first compilation of good practices, the majority of universities are now exchanging letters of agreement when research involves collaborators from other Canadian universities. The Research Grants Officer prepares a letter of agreement that must be signed by his/her counterpart at the other institution, prior to funds being transferred to that institution. This letter clarifies for both parties the amount of funds transferred and the intended use (salary,

equipment, etc.), identifies signing authority and reporting requirements, and refers to the terms and conditions set by the relevant Council, including certification.

This agreement clarifies for all involved parties, their roles in the administration of the grant funds. It eliminates the risk of misunderstanding, and prevents funds from being used for purposes other than those intended, thus protecting the grantholder and each university.

Appendix C contains a sample letter from the University of Ottawa. It covers all of the aspects to be discussed when the next letter of agreement is prepared.

Authorization of Travel Form

At the University of Victoria, Winnipeg, Ottawa and the University of Alberta, grantholders submit a pre-travel form serving, among other things, as authorization to travel and as an attestation that the travel is relevant to the funded research. See Appendix A for an example of such a form, which enables an institution to gather the required information as stated in the *NSERC Program Guide for Professors* and the *SSHRC Grantholder's Guide* (**note that this form could also be used in conjunction with the travel claim form**).

Simon Fraser University has developed a travel claim form that contains essential information. See www.sfu.ca/finance/travel/trclaim.xls. In addition, SFU has identified key information that should appear on invoices that come through travel agents (or other suppliers):

- name of the person(s) travelling;
- dates of travel (and of conference, if applicable);
- purpose of the trip;
- additional anticipated expenses, if applicable.

The Université du Québec en Outaouais (UQO) has a similar policy of pre-authorizing travel, but with an added feature. Once a trip has been authorized by the dean or a department head, the Research Office (in their case, but it could also be the Finance Office) assigns a travel number to be used to track travel arrangements and cash advances. This travel number remains active until the expense claim is submitted. The advantage of this process is to link all expenses related to a specific research trip and ensure a proper audit trail.

Form for Meetings and Networking Activities

Dalhousie University has developed an expense form for all activities related to meetings and networking activities. The grantholder can use the form to record the reasons for the activity, the names of attendees, and to ensure that the agencies' guidelines are respected. An example of the form appears in Appendix A.

Purchase of Animals

At the University of Calgary, the purchasing system helps to maintain control over the purchase of animals by researchers. There is a direct link from this system to the certification database, which can prevent the purchase of animals when proper certification is not in place. When an on-line purchase requisition is filled out for animals, the protocol number must be included in a data field in order for the requisition to be processed and the animals ordered.

Although not linked to an on-line purchasing system, Dalhousie University also has a mechanism in place to prevent the purchase of animals until certification has been obtained. The university has limited the purchasing of animals to one central source that is able to monitor whether a researcher has received certification from the animal care committee before ordering animals.

These controls help ensure that the proper certification is in place for research involving animals prior to the animals being ordered, received and paid for.

Yearly Accountability Statement

At the University of Toronto and at McMaster University, Annual Accountability Reports are prepared by administrators, faculty and staff, and collected by their supervisors. When signing this report, grantholders certify, among other things, that they understand and agree with the terms and conditions of their research project, commit to review and approve all expenditures, and maintain documentation on delegated signing authority. They also agree to comply with the university's policy on Conflict of Interest and on Ethical Conduct in research, and inform staff under their direction of relevant policies.

As the Accountability Report is required on a yearly basis, researchers are regularly reminded of their role in the administration of their research grant, and in the university's research program. In addition, the Accountability Reports are issued on an individual basis to all members with a role in the research program at the university, which helps to ensure that all faculty and staff are well informed about the responsibilities pertaining to their position. Clearly outlined guidelines and responsibilities help to increase awareness, and teach faculty and staff their role in the university's research program.

2.2 Procedures

Employment Contract

The Université du Québec en Outaouais issues an employment contract to all research personnel (students, fellows, technicians, etc.) paid from grants. This contract identifies the supervisor and clearly defines the duties to be performed, the duration of the contract, and the expectations concerning ethics, confidentiality of information, data ownership, etc.

Also, a professor at York University has developed a letter of agreement that he sends to students before they start working in his lab. The letter sets out his expectations for their relationship.

A copy of UQO's standard contract and a copy of the York's letter are found in Appendix B.

Administration of NSERC and SSHRC Postgraduate Scholarships

York University's Graduate Studies administers the bi-monthly payment of scholarships to students through a wage contract (generally 12 months) between the student and the university. This process ensures that the university has in its file the annual progress report required by the agencies. The contract is renewed when the student hands in his satisfactory progress report and the next payment is then issued to the student.

Administration of Research Time Stipends (SSHRC)

At York University, the Finance Department and the Office of Research Administration rigorously monitor the level of research stipends. Monitoring focuses on the amount paid by the Council and by the university to ensure that the 50% rule is respected and that unused funds are returned to SSHRC.

List of Changes in Academic Appointments

At the University of Lethbridge, Dalhousie University and the Université de Montréal, the Human Resources department generates monthly or bi-monthly lists of changes in academic appointments. A copy of this list is distributed to the Research Grants Office and the Business Office. This enables them to follow up with the Councils, on a timely basis, appointments that may affect a professor's eligibility to hold grants.

Notification of Transfer of Equipment

The University of Waterloo has a central inventory system that, among other uses, controls the movement of equipment within its institution and between Waterloo and other universities. Even though equipment purchased from NSERC and SSHRC grants is considered to be university property, the University of Waterloo may permit a researcher transferring to another university to take the equipment. In such cases, it makes certain that the proper arrangements are made for its transfer. By contacting the receiving university, the University of Waterloo ensures that the equipment will be added to the new university's inventory, and special arrangements (if needed) can be made for its accommodation.

This procedure ensures that all parties are informed and aware of the transfer of equipment. There may be important considerations, such as the need for space, for the new university taking on a piece of equipment. With all parties actively involved, the transfer should run smoothly.

Using Per Diem Rates Relevant to the Travel Destination

Travelers know that the cost of meals and accommodation can vary significantly from country to country and sometimes from city to city within a country. Most universities recognize this and usually have two per diem rates, one for travel in Canada and another for international travel. The Université du Québec en Outaouais' travel policy details accommodation and meal rates for a number of Canadian cities and for many countries. This ensures that faculty receives a reimbursement based on reasonable costs at the location, without having to submit receipts.

If you are interested in implementing a similar policy, you may wish to consult the list of rates used by federal agencies. It is available on the Treasury Board Web site at www.tbs-sct.gc.ca/travel/travel_e.html.

Book Acquisition

It may sometimes be difficult for universities and researchers to ensure that the desired book is not already available in the library. St. Francis Xavier University has centralized book acquisitions in the library, which is responsible for ordering all books for the university and its staff and for ensuring that the book is not already available. If the book is in the university's collection, an explanation for the request is sought from the person requesting the purchase. When it is received, the book is entered in the library's databank. In addition, since equipment purchased using grant money is university property, this process also makes it possible to clearly identify and administer the university's inventory of holdings.

2.3 Systems

Salary Encumbrance

Concordia University, Université Laval, and Simon Fraser University encumber salaries to graduate students, postdoctoral fellows and other personnel paid from grants. As salaries often represent a large fraction of the expenses being charged to grants, encumbrances for contracts already entered into help the grantees to efficiently manage their grant funds in a pro-active and timely manner. Such a system also decreases the risk that grantees unknowingly over-commit their accounts.

Administration of Progress Reports

The Faculty of Graduate and Postdoctoral Studies of the University of Ottawa has incorporated in its system the option for the need for a progress report. When the grant program requires progress reports, this option is selected. If the progress report is not received, funds for the second and third year are not released until the student submits the report.

Monitoring and Renewal of Certification

The University of Ottawa's Research Grants and Ethics Services has developed a system for managing the certification required to continue research activities. The first step is to determine certification at the time of application. This information is entered in the system and monitoring of renewal is determined according to a schedule predetermined by the committee. A memo is sent to the researcher to remind him that his certification will soon expire and that it must be renewed in order to receive the next payment. Payment is not released until the new certification is in place.

On-Line Access to Grant Account Information

An increasing number of universities are making grant account information available electronically on their web sites or through their financial systems. Information is updated daily and access is controlled by passwords. Grantholders have access to summaries, as well as detailed, up-to-date information on expenses and commitments charged to their account. Concordia University, University of Victoria, University of Calgary, Lakehead University, Université de Sherbrooke and Université Laval are among the universities that provide researchers with on-line access to their accounts.

Purchasing Information System

The University of Calgary's on-line purchasing system, APEX, is closely linked with its Office of Trust Accounting, which ensures that NSERC and SSHRC eligibility criteria are met. This on-line purchasing system ensures authorization by the grantholder or a delegate prior to the processing of payments. In addition, a purchase over a set materiality level (\$1,000) requires Trust Accounting's authorization prior to being processed. A grantholder can also control a delegate's authority by, for instance, limiting the delegate's ability to enter or approve certain orders, or to use the major account codes, or by setting a limit to the dollar amount the delegate can approve.

An on-line purchasing system directly benefits NSERC and SSHRC researchers administering grant funds by simplifying purchasing. In addition, the ability to easily monitor purchases made over the materiality level benefits the Office of Trust Accounting and helps to ensure the proper use of grant funds. Individual researchers also benefit from this system, which enables them to delegate specific functions to their research team, yet maintain a level of control they are comfortable with.

At the University of Saskatchewan, purchases are captured either by the Purchasing Department or Accounts Payable, which ensures that items over \$1,000.00 are capitalized and tagged. Items are identified by the source account, location, the person responsible for the equipment, etc. The university uses the Capital module of its financial system— Financial Records System (FRS)

At Université Laval, the institution's automated financial management system is used to document all transactions made using grant funds, including equipment purchases. All capital purchases come through central receiving. The item in question is then marked or tagged with an identification number and the numbers are entered into the computer system. The item is then sent to the requesting unit, which is required to keep an updated list of its capital assets.

Funded Research Digest

The Funded Research Digest (FRD) is a report generated from the University of Toronto's Research Information System (RIS) (that system is integrated with the university's Financial Information System (FIS) and Human Resources Information System (HRIS)). When the university receives notification of a new grant, relevant information about the grant (amount, conditions, including limits on budget categories and portions of the amount that can be

expended by co-investigators, certification and reporting requirements) is entered in the RIS. The FRD is then printed and sent to the grant holder, his/her department head and dean, and to the Business Officer. FRDs provide valuable information and refer to relevant policies and documents for the administration of the grant. To obtain a copy of the FRD, contact the Finance Division at the University of Toronto.

Posting University Policies and Procedures on the Web

Most Canadian universities now have a Web site, which can be used to reach external as well as internal audiences (students, faculty, and employees). This tool can be a very useful and powerful information vehicle. Policies and procedures related to research and research administration can be distributed to faculty and research personnel easily and at little or no incremental cost. When preparing for visits, the Financial Monitoring team routinely consults university Web sites, especially the pages on policies and procedures related to research and research administration. We have found a number of particularly user-friendly and complete pages, such as, the University of Ottawa Research Services' Web page and its 'Researcher's Guide' (www.uottawa.ca/services/research/)

More web site to visit

University of Calgary's: <http://www.ucalgary.ca/UofC/about/policy/>.

Alberta University:

https://www.conman.ualberta.ca/stellent/groups/public/@ppoladmin/documents/infodoc/pp_ppol-home.hcsp

Digitizing of Vouchers

The number of boxes required to store vouchers can become quite cumbersome and require additional space in order to retain documents for the seven years required under federal legislation. To overcome this problem, the Université du Québec à Montréal (UQAM) introduced a digitization system a few years ago in order to retain copies of vouchers. To comply with provincial and federal legislation, UQAM obtained the necessary authorization from these governments to use this type of system. Briefly, once the vouchers have been verified and payment authorized, the university's staff digitize each voucher, which is saved for future consultation or printing, if required.

Digitization of Invoices for Authorization

Accounts Payable staff at the University of Victoria digitize invoices that they receive and send the invoices by e-mail to the person who placed the order. That person views the invoice on the screen and ensures that it matches the good or service received. As the account holder, he must authorize payment of the invoice from his account by returning the invoice to Accounts Payable by e-mail. This procedure ensures that the recipient actually receives the invoice for

authorization, the e-mail being proof, and makes it easy to send reminders to those who might forget to authorize the payment.

Purchases in Supply Stores (bookstore)

At the University of Windsor, for all purchases in supply stores (COOP store) that must be paid by internal invoicing (payment from a research account, for example), the store clerk is required to ensure that the purchaser has authorization to charge the purchases to an account. When the clerk enters the account number to be billed in the computer, the name of the account holder appears on the invoice. The purchaser must then sign the invoice. When the name of the purchaser is different from that of the account holder, the clerk must verify on his list whether the purchaser has the authority to invoice purchases to the account.

3.0 OTHER

Format of Financial Report

At the University of Ottawa and the University of Toronto, financial reports have been reformatted to closely reflect the Tri-Council Annual Statement of Account (SOA - former Form 300). Because the format of Form 300 is simpler than the one based on universities' often complex charts of account, grantees are more likely to review it regularly to help them manage their grant funds.

Purchasing Communications Tool

The University of Western Ontario publishes a purchasing newsletter, called the "Purchasing Post". The newsletter is a communications tool that gives researchers hands-on information and helps cut down on costs. The University is also using its Web site to provide information about different suppliers as well as tips to facilitate purchases and save money on its Web site.

Copies of some issues of the "Purchasing Post" are reproduced in Appendix D.

Appendix A – Forms

Travel Authorization Form For Travel Charged to NSERC and SSHRC Grants

| | |
|--|---------------|
| Grantee | Account No. |
| Traveller (if other than grantee, indicate the affiliation with the grantee's research group) | |
| Date from _____ to _____ | |
| Purpose of the trip (check all that apply) <ul style="list-style-type: none"> <input type="checkbox"/> Participation in a Conference (attach official documentation showing dates of event: either a registration receipt or a copy of the first page of the program) <input type="checkbox"/> Field Trip (provide details on activities, their dates, etc.) <input type="checkbox"/> Consultation with colleagues (indicate the name of person(s) or organization(s), and dates of each visit) <input type="checkbox"/> Other (provide details on the purpose and on how the trip relates to the funded research) | |
| _____ Signature of the traveller if other than the grantee | _____ Date |
| I certify that all expenditures charged to my NSERC/SSHRC grant account are for purposes for which the grant was awarded, that these charges have not been claimed from other organizations, and that reimbursements for expenditures received from other organizations will be disclosed to the university. | |
| _____ Signature of the grantee | _____ Date |
| I attest to the relevance of the travel to the research funded. | |
| _____ Signature of department head or dean, if the traveller is the grantholder | _____ Date |

Meeting Expenses form (Example – Dalhousie University)

To be completed for all meeting expenses reimbursed from research account.
Complete form and submit along with a completed cheque requisition form and the itemized original receipts

Alcoholic beverage are not accepted expenses without prior approval of the funding agency

Date of meeting : _____

Reason for meeting : _____

Attendees : _____

Justification : _____
(line item of budget) _____

I hereby certify that these expenses are directly related to the research for which the funds were awarded.

Approval signature : _____
Researcher's Signature

Date : _____

Appendix B – Contract

Contract for Research Personnel UQO (translation)

Université du Québec en Outaouais

Object of contract:

The University is hiring (incumbent's name) as (position title), in the department of (department), under the supervision of (name of professor) from (start date) to (end date).

Duration of contract: xx (weeks/months)

Reason for contract:

(Description of project)

Summary of work:

(Description of main tasks to be performed by incumbent)

Conditions of employment:

The conditions of employment are as described in the collective agreement for professional staff of the Université du Québec à Hull.

The university will pay the incumbent a salary of \$xx.xx per hour. This salary corresponds to the hourly rate in the salary scale for the professional staff. (Add pertinent details. We also recommend adding: Funding for the salary was obtained from NSERC or SSHRC.)

Payment Procedures:

(Insert the pertinent details. For example, The incumbent will be required to complete time sheets. For each pay period, the salary will be paid in accord with the time sheets submitted)

Number of hours per week: xx

Work schedule: variable

The incumbent agrees to abide by the specific conditions for research personnel set out in the appendix to this contract.

Termination of Contract:

This contract can be terminated at any time by one of the two parties following written notice. However, an incumbent who has worked more than 180 days is entitled to receive two weeks' notice.

NOTE: The incumbent confirms having received a copy of the collective agreement and having provided all required documents attesting to his/her qualifications and experience and any other documents requested by the university.

(Integral part of the
employment contract)

**Specific conditions
for research personnel**

- 1.1 The incumbent solemnly declares that he/she will not divulge without prior authorization, any information or data that he/she obtains as a result of this employment.
- 1.2 The incumbent agrees to refuse any remuneration or any other advantage, direct or indirect, as a result of this contract, other than the salary paid by the university.
- 1.3 Any publication or product produced by the incumbent as a result of this contract and during the term of this contract belongs solely to the university.
- 1.4 It is agreed that at the end of this contract, the incumbent will not take or keep any document, report, project, data, etc., resulting from this contract without permission from the university.
- 1.5 The incumbent acknowledges having read the university's policy on integrity in research and agrees to follow it.

In the event that the incumbent fails to abide by these conditions, the contract will be terminated without notice.

Letter of agreement (Example - York University)

Dear Student:

As I explained in our earlier conversation, it has been my custom to write to all new students in my lab in order to set out my expectations. I have found that this heads off any misunderstandings that might otherwise arise. Thus I hope that you will read this carefully, and then sign one of the copies and return it to me.

Let me deal with financial matters first. It is a rule in our program that students ought to have an annual income of \$ XXX. Where there are no scholarships, that income arises from a combination of TA (Teaching Assistantship) and a payment from my research grant. I regard the \$ XXX payment as minimal, and for the forthcoming year I have arranged a total payment of \$ XXX. I have requested on your behalf a full TA, and I have recently heard that has been granted. During the 8 months from September to April, you will receive from that source a total of \$ XXX (about \$ XXX per month). I am supplementing that by \$ XXX per month (\$ XXX total) for the same period. During the four summer months, you will receive no payment from the TA, but I will increase the payment from my grant to \$ XXX per month (\$ XXX total). It is my hope that this arrangement will be repeated in future years, but that will depend on grant income. In the case of grant reductions, I have always given students priority. I do not expect difficulties.

We will agree on an area of research, which you will develop under my general supervision. I expect PhD students in particular to develop a good deal of independence, but I will, of course, always be available to help you develop that independence. We will meet informally in the normal course of events, but I expect to be kept informed about the progress of your work. You should expect me to take an interest in your research, to be available for discussions and to read and comment upon drafts of your writing promptly.

While the culmination of your research will be the dissertation, it is also important that you publish the relevant results of your research. This will be done under our joint authorship, normally with you as senior author. Publication is important for many reasons, not the least of which is continuing to attract funding to the lab so that other students can be supported. My ability to pay you and to support the expenses of your research rests at least partly on the efforts of students who have preceded you. Thus, if there are outstanding papers when you leave the lab, you will have one calendar year to deliver to me a draft manuscript. If, at the end of that time, you have not produced a manuscript, I will produce the paper, but as a senior author.

There is also the question of presentation at scientific meetings. Where there are presentations to be made that feature your work in a prominent way, then you will be a co-author. Indeed, there will, I hope, be opportunities for you to present the research. But on many

occasions I am invited to summarize the work of our lab at a conference or in a book chapter. Given the number of persons involved in the work, it is not my normal practice to include as co-authors in such presentations the several people who have contributed, but I always acknowledge the specific contribution of the individuals concerned.

You, of course, will keep orderly records of your research data. When you leave the lab, you will want to take those records with you. I may, however, request that copies of the data be deposited with me, particularly if these data are not available in the dissertation.

While the matter of commercialization has never arisen in my lab, it is probably wise to anticipate such an eventuality. If there is a patent or other commercial application, which emerges from your work, we would share equally in any profit. Because commercialization involves some initial expense, we would probably have to involve the university or a member of the private sector as a partner. But the principle of equality between us is, I think, important and would be the basis of any future legal agreement, which might become necessary.

Finally let me say that while it is important to have these understandings, I very much look forward to working with you. I hope that our relationship is always one of mutual respect, and that it might grow, as have many other such relationships in the lab, into friendship. It is my objective to encourage your intellectual development to the very limit of your capability and beyond.

Sincerely,

I have read the contents of this letter and understand them

Appendix C - Letter of Agreement for Transfer of Funds to another University

Collaborative Research Agreement

Between

_____ (_____)

and

University of Ottawa (UofO)

Date:

UofO Principal Investigator:

_____ **Co- Investigator:**

Project Title: ""

Sponsor:

Sponsor Award Number:

Period of Collaboration: _____ to _____

Description of Responsibilities of Co-Investigator: As per proposal.

Detailed Budget: As per proposal

Amount payable to _____: _____ to _____: \$ _____

Payments will be subject to satisfactory progress and conditional upon continued support from Sponsor.

Payment Schedule: _____: \$ _____

Subsequent installments shall be determined and approved on an annual basis and conditional upon a duly-signed amendment or extension of this Agreement.

Reporting Requirements: _____ University and Co-Principal Investigator must complete the appropriate statement of expenditures form (e.g. Tri-council form 300) and return within 30 days of the

end of the reporting period (March 31 of each year). Future payments may be withheld if financial reports are not provided to UofO within 45 days of the end of the reporting period.

General terms and conditions: This grant is subject to terms and conditions relating to _____ (agency name) grants including, without limitation, the "Memorandum of Understanding on the Roles and Responsibilities in the Management of Federal Grants and Awards" to which _____ University is a signatory and all requirements related to "Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans". _____ University agrees to abide by these terms and conditions and further agrees not to release any funds to the Co-Principal investigator until approval has been obtained from the appropriate Research Ethics Board.

All financial documentation must be retained and available for audit following the completion of the project in accordance with the sponsor's rules and regulations.

No Liability: Each party is liable for its own losses, costs damages or expenses of any nature which it may suffer, sustain, pay or by reason of any matter or thing arising out of, or in any way attributable to this Research Agreement except if such losses, costs damages and expenses are the result of the willful breach of the terms of this Research Agreement or the negligent acts and omissions by the other party or the other party's employees, agents or subcontractors.

Please sign both copies and return one to us as soon as possible.

Required Signatures:

Name:
Title:
Institution: _____ University

Dr.
Co-Investigator

Name: Gilles Morier
Title: Director, Research Grants
and Ethics
Institution: University of Ottawa

Dr.
Principal Investigator

Appendix D – Purchasing Post



The UNIVERSITY of WESTERN ONTARIO

Financial Services – Purchasing Department

Vol. 11 No. 3

Editor: Jim Heaton

purchasingpost@julian.uwo.ca

June 2000

Room 232

SLB

New e-mail Address

The following e-mail address will phase out the purchasing post phone hot line. For comments or suggestions contact:

purchasingpost@julian.uwo.ca

Signing Authority

We are preparing for the upgrade of PeopleSoft Purchasing 7.5 and for security reasons we need to update the signing authority information. Authorization forms have been distributed to each department already. Please complete the form and return it, properly authorized to Jackie McLean by July 5.

Canadian Tire at Masonville has changed ownership. The new owner has removed our 10% discount we have had for many years but on-campus delivery and acceptance of speed codes is still in place. Purchasing will be reviewing our relationship for the future.

Central Supplies has signed an exemption certificate that allows us to purchase blank audio cassettes and cds free of the copyright levy when used for educational purposes ie. not for resale. This action will reduce your costs for this blank media purchased from Central Supplies: 88121 or use the internet at <http://www.uwo.ca/finance/purchase/csordfrm.html>

MicroSoft License Audits

We understand the universities are being targeted by MicroSoft for license audits for windows and MS-Office products. An extensive article was recently published in ITS 'In Touch' on the software licensing issues and we encourage users to read this article. Please see: <http://www.uwo.ca/its/doc/newsletters/InTouch/vol6-992000/sum2000.html#SoftwareLicensing>

Hazardous Material

We recently experienced a costly and dangerous shipping error by a supplier in China of hazardous material. If contemplating ordering of such goods from outside Canada or the USA please contact Ray Williamson in advance at 88120 prior to making any commitment.

The Visa Purchasing Card is for you

This card eliminates the use of purchase orders for small value items. It is especially handy for field researchers working off site. Each single transaction can be worth up to \$1000.00, the monthly limit \$10,000.00.

Costly processing of paperwork is virtually eliminated. Join the crowd – 142 campus administrators have signed up, you should too. For more information, visit: www.uwo.ca/finance/purchase/visa/html or call Jackie @ X84583.

PURCHASING POST

Speed Codes

Speed codes should only be used with suppliers where we have an established systems contract in place. For a list of these vendors and to find out how to get speed codes, please visit:

<http://www.uwo.ca/finance/people/speecodes/>

Please note: For vendors we do not have systems contracts with, purchase orders must be used or P-Card.

PeopleSoft / Printer Conflicts

If you plan to purchase a printer that will be used to print PeopleSoft reports, please view the ITS Recommended Printers web site at

<http://www.uwo.ca/its/doc/print/>.

Several print issues have developed since the deployment of PeopleSoft, which has lead to the recommendation of Hewlett Packard laser printers or printers using Hewlett Packards PCL language. The Canon imageRunner digital multi function copier is also a recommended option.

The PeopleSoft Resource Group and ITS will only be able to offer very limited support for PeopleSoft printing issues not involving the recommended printers.

Survey

1. Do you wish to receive the Purchasing Post as a hard copy or would you like it sent to via e-mail as a text document? Yes? No?
2. Is this newsletter getting to the correct person? If not, please send us the changes.

Please respond to:
purchasingpost@julian.uwo.ca

Contracts Awarded Since January 1, 2000

| Product/Service | Supplier |
|---|--------------------------|
| Animal care | B-W Feed & Seed |
| *A/V supplies | Video Works |
| Business Forms | DataMark |
| Car & Truck rentals | Enterprise & Ontario |
| *Diskettes (dysan) | Kerr Norton |
| Lab Chemicals | Fisher/VWR Canlab |
| Lab glassware&supplies | Fisher/VWR Canlab |
| *Lamps, projection | Guillevan |
| Liquid nitro installation | Liquid Carbonic |
| Campus / Long Distance Moving | Campbell Brothers Movers |
| Photocopiers (admin) | OE (London) |
| Security trans service | Brinks |
| *Transparencies | Duplicom |
| Transportation Service (mobility impaired students) | Voyager |
| * Order from Central Supplies | |

Siobhan Brady, Senior Buyer and Editor of the Purchasing Post left us a few months ago for the United States. Siobhan's replacement is Jim Heaton. Jim is joining us from Hay Stationery and has many years of experience directly and indirectly related to purchasing.

Mr. Bob Moore
Purchasing & Fin Ser
SLB



The UNIVERSITY of WESTERN ONTARIO

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CAUBO Rates for Vehicle Rentals

To obtain the CAUBO rate from Budget Auto Car Rental and National Tilden Car Rental, you must quote the CAUBO rate number. Please visit <http://www.caubo.ca/index1.html> for more information. However when booking a vehicle, always ask if there are any special promotions running.

Attaching Quotes to Requisitions

When attaching quotes to requisition orders, please attach complete quotes from all vendors responding. It is important for the purchasing department to receive all information regarding the quotation, not just the pricing.

Competitive Pricing

Guidelines for competitive pricing are:

- Up to \$7,500 - Use discretion
- \$7,500.00 to \$15,000 - a minimum of two quotes, three are preferred
- \$15,000 to \$25,000 - Three written quotes
- \$25,000 – Minimum of three formal quotes, five preferable

Remember: When contacting vendors, each of you represents the University and must strive to develop the best long term value for the University and to promote the University as an organization noted for fairness.

Hotel Partnership Program

The following local hotels are current members of the Western Development

Office Partnership program:

Marriott Residence Inn: 433-7222

The Hilton London: 439-1661

StationPark All Suite Hotel: 642-4444

Cost vs. Price

As budgets continue to tighten there is an increasing need to look at how we spend our time and money. When making purchases of goods and services, always look at the cost and not just the price. The cost should include the time it takes to source, phone charges, transportation etc. To minimize the cost on a range of commodities used across the campus, the Purchasing Department has negotiated many systems contracts. Visit:

<http://www.uwo.ca/finance/purchase/supply.html>.

Also check Central Supplies at 88122. Although at a point in time there may be a slightly better price elsewhere, the cost to search this out and process the necessary paperwork must be calculated into the decision making.

Purchasing Development Sessions

If you or anyone you know are interested in learning more about the Purchasing processes, systems contracts, contact personnel etc. we ~~are~~ have booked the following sessions:

Wed. Nov. 22nd 1:15, Ivey School of Business room 40

Friday Nov. 24th 1:15 UC 224.

These will be interactive sessions so bring your questions, issues and concerns.

\$20.00 Service Fee for Travel Services

Due to commission restructuring from airlines, Carlson Wagonlit Travel Agents implemented a minimal processing fee of \$20.00 plus taxes back in February. At the same time a 5% discount on Air Canada tickets purchased exclusively by these agents was made available.

Carlson Wagonlit is firmly committed to servicing the needs of the University community. Besides the 5% Air Canada discounts, here are some of the benefits and services provided by Carlson Wagonlit:

- Reservations & Ticketing
- Lowest applicable airfare at the time of ticketing in the CRS System.
- Emergency services. 365 days a year.
- Personal preference records provided by customer are used to identify preferred travel requirements.
- Passport & Visa assistance.
- Orientation seminars.

Daily Diary's: Time to Buy is Now!

The time to purchase refills for your daily diary's is now. These items are seasonal and Office Products dealers usually sell out of most of their refills by December/January. The most cost effective source is to purchase these refills through Central Supplies online at:

<http://www.uwo.ca/finance/purchase/csordfrm.html>

TIPS

1. Vehicle Insurance

It shouldn't be necessary to purchase additional insurance from vehicle rental agencies. Our corporate insurance and insurance coverage from the AMEX travel card is sufficient. For more information on this subject, visit: <http://www.uwo.ca/finance/travel/insur.html>

2. Copier Jams

Some jams are caused by humidity and this summer has been particularly humid. Since paper absorbs moisture caused by humidity, this impedes the performance and results in paper jams. Excessive static in the winter months also affects the performance of paper. Hint: Fan the paper before inserting into the paper tray. Paper has a natural curl to it. Insert the paper "floppy" side down.

Canadian Plus Program to Merge with Aeroplan

On July 5th, 2000, Canadian Airlines began to announce to all members, that effective January 1st, 2001 all unused Canadian Plus points will be converted to Aeroplan miles on a one-to-one basis.

Qualifying miles and segments earned as a Canadian Plus member between January 1st, 2000 and December 31st, 2000 will be combined to the Aeroplan qualifying miles and segments earned during the same period. This will be used to determine Aeroplan membership tier status for 2001 (effective March 1st, 2001).

For further details and frequently asked question consult our websites at www.cdnair.ca/mypoints or www.aircanada.ca.

Returning Campus Envelopes

Please remember to return your Campus Interdepartmental Envelopes to Central Supplies. There is always a shortage of these envelopes.

If you have any comments or suggestions for future articles, please forward these to:





















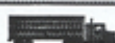






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Please deliver this Newsletter to:

**Mr. Bob Moore
Purchasing & Fin Ser
SLB**

SYSTEMS CONTRACTS AND SUPPLY AGREEMENTS

The Purchasing Department has negotiated several systems contracts and supply agreements to obtain better value and to simplify the procedure for acquiring specific goods and services. As of December 1, 1995, the following agreements are in effect. To place an order for one of the shaded commodities, you only need to call the number provided and charge the order directly to your U.W.O. account number.

| COMMODITY | SUPPLIER | PHONE NUMBER |
|---|------------------------------------|----------------------------------|
| Airfare/Travel  | Carlson Wagonlit (P.Lawson Travel) | 679-4605 |
| Airfare/Travel  | Carlson Wagonlit Ruse Travel | 672-7020 |
| Animal Care Supplies  | BW Feed & Seed | 662-1773 |
| Animal Feeds  | Growmark | 519-824-3340 |
| Audio/Video Tapes  | 3M | X8122 (Stationery Stores) |
| Brokerage Services  | Livingston | X4587 (Customs & Traffic Office) |
| Business Forms  | Moore Business Forms | 473-2730 |
| Car & Truck Rental (international) | Budget, Thrifty, Tilden | provide ID codes |
| Car & Truck Rental (local)  | Discount | 439-0227 |
| Compressed Gases  | BOC (Canox) | 686-2931 |
| Computer Components  | Bolen Distributing | 641-3881 |
| Diskettes  | Kerr Norton | X8122 (Stationery Stores) |
| Filing Cabinets - Vertical  | Hay Stationery | 455-0055 |
| Filing Cabinets - Lateral  | Krueger International | 800-361-9422 |
| Hardware & Houseware  | Canadian Tire (Masonville) | 660-6222 |
| Laboratory Coats  | Industrial Textiles | 800-268-1706 |
| Laboratory Chemicals  | Caledon Laboratories | 800-668-3230 |
| Laboratory Chemicals  | Gibco* | 800-263-6231 |
| Laboratory Chemicals  | Sigma* | 800-325-3010 |
| Laboratory Glassware & Supplies  | VWR Canlab | 800-264-6797 |
| Lamps, Projection  | Stan C Reade | X8122 (Stationery Stores) |
| Moving Services  | Campbell Brothers Movers | 681-5710 |
| Paper, Fine  | Unisource | X8122 (Stationery Stores) |
| Paper, Xerographic  | Xerox Canada Inc. | X8122 (Stationery Stores) |
| Personnel (Temporary) Services  | Allen Business Services | 672-7040 |
| Photocopier Rental Fleet  | Xerox Canada Inc. | X4581 (Purchasing) |
| Photographic Supplies  | Stan C Reade | 433-2818 |
| Stationery Supplies  | Hay, Grand&Toy, Medway, Today's | X8122 (Stationery Stores) |
| Toner Cartridges | Compu-Redi, MKG Recycling | X8122 (Stationery Stores) |

*Gibco and Sigma only cover simplified ordering procedures and were not awarded on the basis of competitive bidding