 STATEMENT of POLICY and PROCEDURE			
Manual:	Operations	SPP No.	OP1.06
Section:	Operations	First Issued:	January 20, 2012
Subject:	Research Support Services	Effective:	Sept. 1, 2018
Issue to:	All Manual Holders	Page:	1 of 3
		Replaces:	June 6, 2016
Issued by:	VP Research	Approved:	Aug. 30, 2018

1 POLICY

The Thunder Bay Regional Health Research Institute (TBRHRI) provides Scientists with support services, including tools and resources that are generally not funded through grants, to foster the success of their research.

2 PURPOSE

This policy specifies the guiding principles for the resource and financial allocation of support services to Scientists.

3 SCOPE

This policy applies to Scientists as defined in TBRHRI Employee & Non-Employee Classifications Policy HR2.18.

4 RESPONSIBILITY

The Executive Management Council is responsible for assigning resources (space, support staff, funds). The Executive Vice President Research & Development is responsible for validating eligible expenses, and endorsing expenses for payment.

5 REFERENCES AND RELATED STATEMENTS OF POLICY AND PROCEDURE

SPP FN 2.01 – Expense Authorization
 SPP FN 2.10 – Payment for Purchased Goods and Services
 SPP HR 2.18 – Employee & Non Employee Classifications
 SPP HR 2.01 – Health & Safety Policy
 RF-02 – Access to Facilities and Equipment for Research and Education

6 PROCEDURES

6.1 SPACE

- TBRHSC governs the allocation and assignment of space for its programs and affiliated entities. To that end, space assignment and planning will be addressed through TBRHSC's policy CPO-03 "Space Allocation".
- TBRHSC Capital Planning & Facilities will work with TBRHRI management to assess and address space needs in alignment with the overall TBRHSC space plan.
- Space will be assigned that allows for suitable and safe supervision of activities related to the research program.

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- Space will be provided as an in kind contribution to the Scientists program.
- Space will be assigned to each Scientist according to need as discussed with the Scientist and determined by the Chief Scientist at the TBRHRI; appeals of such space assignment can be communicated to the CEO of the TBRHRI, who will be the final decision maker on this matter.

6.2 SPACE OUTFITTING & SERVICES

- TBRHRI will supply office furniture for the offices as defined by the TBRHSC Facilities Planner, based on a standard office layout and furnishings.
- TBRHRI will establish phone and IT services in assigned offices.
- Access to shared printers and copiers will be provided as an in kind contribution to the Scientists program.

6.3 LABORATORY SUPPORT

TBRHRI will provide the following:

- Support for common lab equipment, including items such as scheduling of maintenance, preventative maintenance of common equipment (e.g. fume hoods, water systems, BSC's, etc.).
- Assistance with the purchasing of lab equipment and supplies. TBRHRI Purchasing Process (appendix A).
- Oversight and management of the Health & Safety program as it pertains to TBRHRI labs.


Scientists will be responsible for:

- Daily inspections, operational checks and routine cleaning of the equipment and consumables they use.
- Equipment they own, unless a specific agreement is in place with TBRHRI/TBRHSC for the equipment.

Note: Priority is given to labs based on health or financial risk to the organization (e.g. flooding, electrocution, accreditation requirements, etc).

6.4 ADMINISTRATIVE SUPPORT

- Administrative support for research programs based at TBRHRI is available through a shared Administrative Assistant.
- The administrative support will prioritize requests for assistance with administrative

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duties that relate directly to Scientist work at TBRHRI.

- An overview of administrative support services available is included in Appendix B.

6.5 COMPUTERS

- Scientists are provided with a computer, of base-bundle value, as an in kind contribution to the Scientists program. Should the Scientist wish to upgrade, it is at his/her cost, as is additional software and licensing costs. Ownership will be retained by TBRHSC/RI.
- The Scientist will have access to computer services through TBRHSC and must adhere to all policies and procedures of both TBRHSC and TBRHRI.

6.6 OFFICE SUPPLIES

- Routine office stationary and supplies are provided by TBRHRI, ordering and stocking of supplies is done by the Administrative Assistant.
- Shipping costs (courier, postage, etc.) directly related to research carried out at TBRHRI is administered by TBRHRI and are charged to appropriate grants.

6.7 BACK-OFFICE SERVICES

- Procurement, accounts payable, Human Resources, and financial reporting services are available for grants administered by TBRHRI.

6.8 TBRHRI-RELATED PROGRAMS

- For merit-based programs, all Scientists and their staff will be considered equally. For non-merit based programs, e.g. NOHFC Interns, first preference will be given to Scientists whose primary employer is TBRHRI.

7 ATTATCHMENTS

Appendix A – Purchasing Process

Appendix B – Administrative Support



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TBRHRI Purchasing Process – November 7, 2017

If Grant is held at TBRHRI:

Pertains to all orders being delivered to Oliver Road or Munro Street.

- A Member of the Research group completes a Purchase Requisition (PR) that includes the following information:
 1. vendor name, address, phone/fax number, and contact name
 2. unit(s) of measure, box of 10, case of 1000 etc.
 3. quantity of item(s)
 4. catalogue number
 5. proper and full description of each product item
 6. cost of item(s)
 7. name of Requester
 8. name and signature of the Scientist or other authorized TBRHRI Requisitioner with signing authority to place purchases against a Scientist's FC (in *Required by* section)
 9. the FC number to be charged

Entering and Submitting PR in Virtuo:

- The PR must be signed by the Scientist to approve the order before it is placed in Virtuo or he/she must e-mail written approval to the TBRHRI Requisitioner authorizing him/her to sign the PR (in the *Approval* section) on his/her behalf up to the TBRHRI Requisitioner's authorized signing limit.
- If the PR cannot be signed and/or physically delivered to the TBRHRI Requisitioner, it must be scanned and an approval from the Scientist must be e-mailed to the TBRHRI Requisitioner authorizing him/her to place the order in Virtuo "Requisitioning" on behalf of the Scientist. The original signed PR must be provided to the TBRHRI Requisitioner once the Scientist has signed to approve and authorize the PR.
- A copy of a "shopping cart", e-mail from vendor, on-line published price, or other supporting document(s) that provide the above listed required information must also be submitted with the PR to the TBRHRI Requisitioner. If applicable, a valid quote, promotion code(s), urgent order, and/or deadline sale date must be clearly noted on the PR.
- The TBRHRI Requisitioner enters and submits the order in Virtuo "Requisitioning". If the product has been ordered in the past and catalogued by Purchasing, he/she enters the assigned "item number" which identifies the required product information. If the product has not been ordered in the past or catalogued in Virtuo by Purchasing, he/she attaches a scan of the "shopping cart", e-mail from vendor, on-line published price, and/or other supporting document(s) and attaches the document(s) in Virtuo "Requisitioning - Documents". The TBRHRI Requisitioner monitors in Virtuo, the pending PO# which Purchasing assigns once the order has been placed with the vendor and writes this PO# on the PR.
- If the PR is over the TBRHRI Requisitioner's authorized signing limit or the Scientist was unable to sign the PR but approved the order via e-mail, it must be signed and approved at a higher authorized management level. It will also require approval in Virtuo at a higher authorized management level.



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Delivering PR to Purchasing to place the Order:

- If the vendor is not listed in Virtuo , (a new, seldom used and/or US vendor not already set up with a TBRHSC account), the PR cannot be entered in Virtuo. The PR and required documents must be approved and signed by the Scientist or approved and signed at a higher authorized management level if the Scientist was not available to approve the PR. The white and yellow copies of the PR must be delivered to Purchasing, with the supporting documents as listed above i.e. "shopping cart" etc.
- Purchasing may opt to open an account with the vendor (which may delay ordering process if a financial application is required to be completed) or Purchasing may choose to place the order using the TBRHSC Purchasing MasterCard to place order.
- Once the order has been placed with the vendor, Purchasing assigns a PO# to the PR, returns the yellow copy via interoffice mail to the originator with the PO# reflected in the *For Purchasing Dept* section and initials the PR,
- If the cost of the item to be purchased is over \$1,000 and not a consumable (life span up to 1 yr or part of an existing piece of equipment), the group is responsible for sourcing 3 quotes, or completing a TBRHRI Sole Source document which requires to be signed by the Scientist and by management at the next level to approve the purchase. All required ordering and document information, including authorized signatures must be provided with the PR.
- PRs for capital purchases must be signed by the Scientist and the appropriate authorized management staff and forwarded to Purchasing. Purchasing will review the Sole Source document (if applicable) or the required 3 quotes to ensure the correct purchasing process was adhered to including the required documents and signatures are attached to the PR. Normal order receipt process to be followed.
- The PO# can then be used to contact the vendor and monitor the shipment's status and expected delivery date. Once the shipment has been delivered to room 3116 by Shipping & Receiving and signed as received by the TBRHRI Requisitioner, the corresponding delivery slip is provided to a member of the Scientist's group to date the delivery slip confirming the delivery is complete and correctly received. The signed and dated delivery slip is returned to the TBRHRI Requisitioner and stapled to the corresponding PR.
- Once all items listed on the PR have been confirmed delivered and received by S/R, the TBRHRI Requisitioner codes and signs the invoice as received and obtains the 2nd required authorized signature of the Scientist. If the invoice is above the TBRHRI Requisitioner and the Scientist's authorized signing limit, he/she will code the invoice, obtain the Scientist's signature including the 2nd required authorized signature at a higher management level once delivery of all items listed on the PR are confirmed as delivered and received,
- In both cases, once delivery of all items is confirmed, the signed invoice is scanned and the original is forwarded to Finance for payment processing.
- **If Grant is held at Lakehead University (LU) – order is placed via LU's integrated Database System – Datatel Colleague** A Member of the Research group completes a Purchase Requisition (PR) that includes the following information:
 1. vendor name, address, phone/fax number, and contact name
 2. unit(s) of measure, box of 10, case of 1000 etc.
 3. quantity of item(s)
 4. catalogue number
 5. proper and full description of each product item
 6. cost of item(s)



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7. name of Requester
 8. name and signature of the Scientist
 9. LU grant number to be charged
- The PR must be signed and approved by the Scientist before the order is entered in LU Datatel (or the Scientist must e-mail approval to the TBRHRI Requisitioner authorizing him/her to sign the PR on his/her behalf up to the TBRHRI Requisitioners approved LU signing authorization for electronic requisitions and signing authority limits.
 - A copy of a "shopping cart", e-mail from vendor, on-line published price or other supporting document(s) that provide the above listed required information must be submitted with the signed PR to the TBRHRI Requisitioner. If applicable, a valid quote, promotion code(s), urgent order, and/or deadline sale date must be clearly noted on the PR.
 - The PR must indicate which LU budget grant the Scientist is placing the order against.
 - The TBRHRI Requisitioner enters the PR order information in the Datatel system, resulting in an automated PR # to be assigned. The TBRHRI Requisitioner forwards an e-mail to LU Purchasing Agent for follow-up of the ordering process. The TBRHRI Requisitioner will provide the LU Purchasing Agent with the PR# and request the PO# be e-mailed to him/her. The TBRHRI Requisitioner attaches a scan of the supporting document(s) which provide *Vendor information, item description, part number, cost of item etc* . The delivery address entered in Datatel reflects the hospital site, 980 Oliver Road, Room 3116. If the order is shipped from outside Canada, the delivery address should reflect Lakehead University, c/o name of Scientist, 980 Oliver Road, Room 3116. The Lakehead University delivery address alerts Customs to broker the shipment with Livingston, (LU's broker) rather than Cole Int'l (TBRHSC's broker) therefore avoiding incorrect Broker invoicing for brokerage fees.
 - If the item being purchased is more than \$1,000 the TBRHRI Requisitioner e-mails the Dean requesting him/her to approve the assigned PR in Datatel.
 - If the item being purchased is more than \$5,000, a member of the Research group is responsible for sourcing 3 quotes, or filling out an LU Sole Source document which must be signed and approved by the Scientist and the LU Chair before the LU Dean, who is the required secondary approver, signs and approves the order in Datatel.
 - Once the LU shipment is received by S/R, it will be placed in a pre-designated area for pick up. The Scientist or a TBRHRI Requisitioner will be contacted by S/R informing him/her that the shipment has been delivered. The Scientist or a member from his/her group is responsible for retrieving the order promptly and verifying shipment contents ensuring the order is correct and complete. Any issues with the shipment(s) are to be addressed with LU and/or the vendor directly by the Scientist or a member from his/her group. The Scientist's group member is responsible for signing, dating and giving the TBRHRI Requisitioner the delivery slip(s) who then receives and accepts the order in Datatel system which notifies LU the shipment has been received.
 - The vendor forwards the invoice to LU which is e-mailed to the TBRHRI Requisitioner who will obtain the Scientists signature, codes and returns the invoice to Lakehead University for invoice processing.
 - **Scientists are responsible for ensuring that all equipment orders requiring inspection (e.g. electrical equipment) are approved by TBRHSC Maintenance Department prior to use. The TBRHRI Requisitioner will flag anything requiring a maintenance inspection, and initiate a maintenance request.**



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Lakehead University Purchase Cards or \$0 Orders/Shipments

Pertains to all orders being delivered to Oliver Road or Munro Street.

- Lakehead University Purchase Cards (P-Cards) are tied to a Scientist's account/grant that are held and administered at Lakehead University. As these accounts are not administered through the Hospital or the Research Institute, they do not require entry into Virtuo for financial tracking. A separate requisition or \$0 PO is not required.
- Scientists with LU budget grants can obtain an LU Purchasing Card. By applying for one with LU Finance (Margot Ross). Procurement up to \$5,000 monthly can be purchased against the LU Purchasing Card. Users of the P-Cards must be aware of restrictions on the use of P-Cards for certain items such as hazardous chemicals or materials, radioactive substances, research animals etc. A guide to the use of P-Cards is part of Lakehead University's procurement policy:
<https://www.lakeheadu.ca/faculty-and-staff/policies/financial/procurement-policy>
- The cut-off date for the LU visa statements is the 27th of each month resulting in a \$0 balance owing on the 28th of each month.
- Scientists, members of their Research group or the TBRHRI Requisitioner may place the orders directly with vendor via phone or on-line. In order for S/R to correctly identify these shipments as P-Card orders, the person ordering the item must indicate on the shipping label, a reference number or in a line on the shipping address, the following information: **"P-Card Order – Scientist's Last Name"**.
- The same process applies as above for \$0 orders or free shipments/samples expected to be received: **"\$0 Order/Shipment – Scientist's Last Name"**.
- Once the shipment is received by S/R, it will be placed in a pre-designated area for pick up. The Scientist and/ TBRHRI Requisitioner will be contacted by S/R once the shipment has been delivered on-site. **The Scientist or a member from his/her group is responsible for retrieving the shipment. The Scientist group is responsible for promptly checking the order and ensuring the order is complete. Any issues with the order are to be addressed with LU and/or the vendor directly by the Scientist or a member from their group.**

Note: In extenuating circumstances, and at the discretion of Finance, items may be charged to TBRHRI, with an invoice issued to the appropriate account at LU for reimbursement.

Note: For purchases under \$100, please use petty cash.

References (available on TBRHRI Intranet):

SP FN 2.01 Expense Authorization

SP FN 2.02 Petty Cash

SP FN 2.04 Expenses

SP FN 2.06 Purchase Orders

SP FN 2.09 Shipping/Receiving

Broader Public Sector Procurement Directive, April 2011

[https://www.doingbusiness.mgs.gov.on.ca/mbs/psb/psb.nsf/Attachments/BPSProcDir-Guidebook-pdf-eng/\\$FILE/bps_procurement_guidebook-pdf-eng.pdf](https://www.doingbusiness.mgs.gov.on.ca/mbs/psb/psb.nsf/Attachments/BPSProcDir-Guidebook-pdf-eng/$FILE/bps_procurement_guidebook-pdf-eng.pdf)



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APPENDIX B

Administrative Support

Support for the following administrative duties is available to Scientists for work that is directly related to their research programs being undertaken at TBRHRI:

- scheduling meetings and teleconferences;
- creating and circulating agendas and meeting material;
- booking travel and accommodation;
- reviewing and submitting travel expense claims, cheque requests and petty cash forms;
- formatting and processing outgoing correspondence;
- preparing and submitting TBRHSC/RI internal forms (e.g. IT access, requests to hire, Notice of Absence and vacation requests, travel authorization, etc.);
- coordinating site visits/presentations;
- obtaining signatures on grant submissions and agreements;
- submitting HEAT requests/calls for IT/computer assistance;
- acknowledging incoming or preparing outgoing emails as requested;
- conference registrations;
- processing miscellaneous invoices for payment by TBRHRI;
- forwarding Lakehead University related invoices, travel claims, cheque requests to Lakehead University;
- forwarding reconciled Lakehead University Visa statements to Lakehead University.