

PROCEDURE RESEARCH MANAGEMENT

SUBJECT: PROCEDURE for the financial management of CRCHUM core facilities	NUMBER: CRCHUM 50 511-01
ADDRESSEE: All staff of the CRCHUM's scientific core facilities	Issued on: January 15th, 2016 Revised on: July 10, 2020
ISSUED BY: Céline Coderre, Senior Manager, Scientific Performance	
APPROVED BY: Research Management (DR) And SIGNED BY: Vincent Poitout, Research Director CHUM and research director CRCHUM	Date: July 10, 2020

OBJECTIVE

The purpose of this procedure is to describe the financial process to be followed to ensure that services are properly offered and billed to internal and external clients of the CRCHUM core facilities and that these clients promptly pay the amounts due.

1. **TARGET AUDIENCE**

This procedure must be followed by platform personnel, including technical managers, staff and Scientific Advisors working on the various facilities recognized by the CRCHUM.
2. **DEFINITIONS**
 - 2.1. Core Facility Manager (RP): Person responsible of the equipment and services and manages the core facility.
 - 2.2. Scientific Advisor (CS): Regular CRCHUM researcher responsible of the core facility.
 - 2.3. Internal Client: Any equipment or service user being part of a research team in the CHUM, whether it is a researcher, an employee or a student. Also included is any user acting on behalf of another core facility service of the CRCHUM.
 - 2.4. External Client: Any equipment or service user part of a research team, whose researcher is not part of the CHUM or a user from an external company.
 - 2.5. GRR : Reservation Web management system for resources and equipment (Gestion de Réservation des Ressources).
 - 2.6. Senior Manager, Scientific Performance (GP): The person responsible for the overall organization and management of the core facilities, referred to as the PM in the policy.
3. **POLICY OF REFERENCE**

This follows policy number 50 511 'CRCHUM core facility Policy. Section 1 - Internal management of activities and services', whose purpose is to describe the various rules that CRCHUM RPs must follow in order to successfully deliver services to their CHUM clients and to those outside the CHUM.

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4. RESPONSIBILITIES

- 4.1. RPs are primarily responsible for informing service users of the rates and conditions in effect prior to the work that needs to be done.
- 4.2. If any adjustments to rates are required during the course of the work, they must be discussed with clients beforehand.
- 4.3. Once the work has been completed, the RPs are responsible for sending the monthly billing to the CRCHUM's finance department.
- 4.4. Internal clients are responsible for providing a fund number that will be used to settle the payment and external clients must provide a purchase order or make a payment arrangement for services rendered.

5. PROCEDURE

- 5.1. A clear and simple financial process is put in place to facilitate the work of the RPs, to ensure that the required financial information is complete and accurate, and to provide for proper and timely recovery of fees. Procedure 50 512-02 'Procedure for Access to CRCHUM core facilities Equipment and Services for Internal and External Clients' describes the overall terms and conditions of use of the core facilities and includes examples of forms that must be completed by regular researchers. For external clients, service agreements must be completed and signed.
- 5.2. RPs must ensure that users are aware of and agree to comply with the terms and conditions, and that training, if required, has been provided prior to the initiation of the work and that ethics committee approvals, if applicable, have been obtained.
- 5.3. The core facilities serve two types of clients: internal clients, which include all CHUM researchers, and external clients (whether they come from academic or private companies). The financial process is different for the two types of clients and is described in sections 5.3.1 and 5.3.2.

5.3.1. Internal Clients

5.3.1.1. Project request

- 5.3.1.1.1. Project requests are made directly to the RP by email, telephone or in person, or are documented on the GRR reservation site. It is strongly recommended to request written confirmation before proceeding with any planning work on the project.
- 5.3.1.1.2. For time slots of certain activities reserved on GRR, the RP must confirm with the applicant the accessibility of the service. For other activities, the reservation is confirmed as soon as the applicant makes the reservation.
- 5.3.1.1.3. Following the request for service, the RP, together with the Scientific Advisor, if necessary, evaluates the feasibility of the project and the availability of staff and equipment, if required, and discusses with the user the terms and conditions.

5.3.1.2. Costs of the Project

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- 5.3.1.2.1. The work may be done in self-service mode or with the help of the RP and/or the core facility's staff. Prices vary depending on how the service is used.
- 5.3.1.2.2. Each RP has a tariff grid that they forward to callers as required. Prices can be calculated on an hourly, daily, sample, etc. basis. A bid for a project can also be specifically prepared based on certain cost parameters established by the core facility.
- 5.3.1.2.3. The RP must provide the client with a full description of the proposed fees, if they are not already included in the general tariff grid.
- 5.3.1.3. Forms to be completed
 - 5.3.1.3.1. Following agreement, the user of the service must complete a declaration of acceptance of the conditions of access and the authorization for payment which must be signed by the regular researcher and by the RP.
 - 5.3.1.3.2. Some generic forms are included in procedure 50 512-02 'Procedure for access to equipment and services on CRCHUM core facilities for internal and external clients'. The general terms of these forms must be retained, but each RP may adapt and/or combine the forms according to the services offered.
 - 5.3.1.3.3. The form must include a space to indicate which fund number will be used to pay for the services. **No delivery of services should be made without this fund number, unless approved by the GP.**

5.3.2. External Clients

- 5.3.2.1. Project Request
 - 5.3.2.1.1. Any project request must be made in writing to the RP.
 - 5.3.2.1.2. Following the request for service, the RP, together with the Scientific Advisor, if necessary, evaluates the feasibility of the project and the availability of staff and equipment, if required, and discusses with the user the terms and conditions. It goes without saying that the activities of internal researchers must be prioritized, but at the same time an attempt must be made to satisfy external clients, who can be a significant source of income.
 - 5.3.2.1.3. For activities where bookings are made on the GRR site, the RP will indicate the time slots required by the applicant.
- 5.3.2.2. Costs of the Project
 - 5.3.2.2.1. The work may be done in self-service mode or with the help of the RP and/or the core facility's staff. Prices vary depending on how the service is used. For some activities, the self-service mode is not available.
 - 5.3.2.2.2. Prices vary according to the type of clients (academic or private sector).
 - 5.3.2.2.3. For applications where the tariff grid is available, the RP informs the client of the current tariffs. The RP also informs the client of the special conditions of the service offered.
 - 5.3.2.2.4. For more complex projects, a bid is prepared in which all anticipated expenses are described, including the estimated time for CRCHUM staff, equipment provided, transportation costs, etc. Prices include a 30% overhead for private companies. A note must be added to indicate that the price may be revised

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upwards for any addition of time, material or activities not initially planned. The quote is sent to the external client for approval.

5.3.2.3. Contractual Agreement

5.3.2.3.1. Once the parties agree on the activities and terms, the RP will contact and forward the proposal to the GP so that a legal agreement can be prepared and submitted.

5.3.2.3.2. Two types of agreements are possible: Use of the core facilities, where the client comes on site to do the work, and Service Agreement, where the platform staff provides the service and passes on the results to the client.

5.3.2.3.3. The GP or RP completes the appropriate sections of the agreement, sends the document to the client for signature and obtains the CRCHUM/CHUM signatures. If there is a submission and other documents related to the service, these are attached. Several original copies will be signed if requested by the client.

5.3.2.3.4. Once all signatures have been received, a copy is sent to the client by email and/or mail and the RP is advised that they can begin the job. The original agreement is retained by the GP. Agreements will be archived for the long term.

5.3.3. Payment authorization

5.3.3.1. Before starting the service or authorizing the client to use the facility, it is essential that the client provide a purchase order number to the RP, which will be used to bill all charges incurred. Some clients may not be able to provide a purchase order number; they will receive an invoice by email and will be required to pay by cheque or credit card.

5.3.3.2. In exceptional cases, the CHUM's Finance Department reserves the right to require full or partial payment before beginning services, including for applications involving large amounts, purchases of non-standard equipment or animals, and for applicants with a poor payment history or for any other reason deemed valid.

5.3.3.3. **Client information (name, organization, address, e-mail, telephone number, amount to be collected) must be sent to the CRCHUM's finance department.**

5.4. Checking the availability of funds for CHUM researchers

5.4.1. In order to make sure that the researcher's funds are available to meet his/her financial obligations, the RP **may write** to the administrative technician responsible for billing at the CRCHUM's finance department to make the necessary verifications. The RP must therefore ensure that a valid fund number is transmitted when invoicing.

5.4.2. It is **strongly recommended** that RPs undertake a verification for project requests of \$2,000 or more.

5.5. Documentation of charges at the time of service

5.5.1. For self-service use, each RP must have a process in place to rigorously document the time of use of each piece of equipment. This may be in a notebook placed near the equipment, a software

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program that records the time, a physical verification and any other applicable process. It is essential to conduct periodic tours to ensure that users are properly documenting their activities

5.5.2. For the services provided by the core facility, the RP documents in the register of his choice, all the activities carried out and the time allocated to each project. This includes time for writing procedures, validation, analyses, problem solving, etc. The detail must be clear enough to avoid any possible disputes when invoicing.

5.6. Monthly Billing

5.6.1. Once a month (usually on the 2nd or 3rd working day of each month, at the latest— on the following Monday if weekend), the RP is required to forward to the finance department, the full amount of the fees to be billed for the previous month. The GP will advise of any different schedule.

5.6.2. The charges can be entered in an Excel document sent by e-mail, identified with the month and year. The document must include: the name of the researcher, the user of the service, the name of the service offered/equipment used, the number of units (hours, day, samples, project, etc.), the price per unit and the total charges per researcher, as well as the fund number from which the amounts are to be withdrawn.

5.6.3. For those projects extending over more than one month where a lump sum cost is established, costs should be allocated as the work progresses and charged monthly to avoid a large bill at the end of the project (even in cases where it is not possible to charge exactly what was incurred for a given period). Exceptionally, if justified, and after approval by the GP, the breakdown of billings could be modified.

5.6.4. Instead of providing the Excel billing document, the RP can record the information in the Access database. All information entered directly into the computer system must be scrupulously verified and registered because the finance department will not be able to process the erroneous information, which will result in delays in payment.

5.6.5. The Animal Facility services and some services of the Transgenesis and Animal Modeling facility are invoiced via the Labtrack system. Refer to procedure SA-71 of the CRCHUM's animal facility.

5.6.6. The finance department sends a monthly invoice to each CHUM researcher, which includes summary fees for each facility used in the previous month. The RP may also send a detailed listing of the services billed to its clients. External clients receive an invoice in pdf format by e-mail with details of the costs billed for the activities.

5.7. Other core facilities involved in providing the service to the client

5.7.1. Each time a core facility uses the services of another core facility, the latter will charge the costs incurred in the same way as any other group, except for certain pet expenses and NC3 (as described in paragraphs 5.6.2 to 5.6.4). For example, if the metabolic phenotyping facility requests a cell sorting service from the cytometry facility, it will be billed at the same rate as for the regular researchers.

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5.7.2. When animals are used in connection with the animal facility service, the animal facility directly invoices the researchers who have funds at the CRCHUM, i.e., per diems, technical time, equipment, etc. Therefore, the RP does not have to include these costs in his or her monthly billing. External clients receive a single monthly invoice for all services provided to avoid any confusion and thereby recover costs more quickly. For example, if a facility uses the services of another facility to perform work for an external client, all fees from that facility will be charged to the facility that has made the agreement with the client. For instance, the animal facility invoices the phenotyping facility to include the amounts in its monthly billing to the customer.

5.7.3. The transmission of information from one core facility to the other must be fast at the end of the month so that the invoice submitted to the finance department can be sent on time.

5.7.4. When users of the cell imaging and cytometry facilities access NC3, their entry fees are billed directly to the regular researchers involved in NC3 and are not transferred to the 2 facilities.

5.8. Follow-up of recovery

5.8.1. If a researcher questions the fees charged by the finance department, it is the RP's responsibility to meet with the researcher to answer questions and to advise the finance department of any errors or changes.

5.8.2. It is also the responsibility of the CRCHUM's finance department to contact the client for any late payment that is unjustified by more than 90 days. If payment is not recovered promptly following this notice, no new activity for this client will be authorized. The GP should be informed of the steps taken in order to offer support if necessary.

5.8.3. If a CHUM researcher refuses to pay for a fee for which he or she has signed the authorization form, the RP must document and contact the GP with whom he or she will meet the researcher in order to discuss and resolve the dispute. Refer to procedure 50 511-02 Procedure for managing customer service in CRCHUM core facilities.

5.8.4. Any dispute between a RP and a researcher must be reported promptly to the GP, so that a solution can be found quickly and to everyone's satisfaction.

5. APPLICATION

This policy becomes effective on the day of its approval by the Research Director of the CHUM



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