



Lahore University of Management Sciences

Faculty Initiative Fund

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Name	Designations	Signature	Date
URC	Convener, URC	Dr. Amir Faisal	September 24. 2018
URC	Convener, URC	Mr. Uzair Kayani	June 20, 2020

1. Purpose of Policy

The purpose of this policy is to set forth guidelines for the awarding and management of LUMS Faculty Initiative Fund (FIF) grants.

2. Scope of Policy

This policy is applicable to all full time faculty members at LUMS.

3. Policies and Procedures

3.1 Pre-award Phase

FIF is an internal funding mechanism that awards competitive annual grants up to Rs 1,000,000 to LUMS faculty. These grants are intended to help faculty members develop innovative projects that might enhance the University and lead to larger endeavors, new research initiatives, external funding opportunities or unusually creative works.

All full time faculty members at LUMS are eligible to apply for the grant. Proposals may be submitted individually or by a group of faculty within or across schools to the Office of Research (OR).

FIF award cycles run twice in a calendar year. One cycle runs from January to December and the other runs from July to June. Application deadlines in respect of these cycles are announced by OR.

The proposal must include the following documents:

1. Project proposal form;
2. Budget that indicates how the requested funds will be expended along with its justification;
3. Curriculum vitae for each applicant of no more than three pages; and
4. Current and pending support documents listing any awards of each applicant.

The proposals are reviewed for funding by the University Research Council (URC). If necessary, the URC may ask the Principal Investigator (PI) to present or clarify certain aspects of the proposal. The URC may also use any expert reviewers, including LUMS faculty members, to form its decision. Proposals involving the use of human or animal subjects or issues related to biosafety are referred to the Institutional Review Board (IRB).

A URC member who has also submitted a FIF proposal may not participate in the evaluation process for the proposals from his/her school for that cycle. However, he/she shall review non-technical aspects of the proposals from other schools.

Final decisions on funding are made by the OR on the recommendations of URC, in consultation with the VC, Provost, Director of OR and URC Convener. Proposals are evaluated according to the following criteria:

1. The degree up to which the proposal gives a clear and thorough description of the proposed research in a manner that can be understood by a diverse panel of reviewers;

2. The potential impact of the project in respect of enhancing institutional capacity and research culture at LUMS;
3. The contribution that the proposed project is likely to make towards development of the body of knowledge in the relevant field;
4. The degree up to which the project might enrich research opportunities for students; and
5. The likelihood that the project will lead to outside funding.

In case, two FIF proposals are submitted by the same two faculty members by merely exchanging the PI and Co-PI roles, only one with the higher evaluation will be funded if both the proposals are accepted after URC's review.

A faculty member cannot have two FIF grants with overlapping project timelines. PI(s) of an awarded FIF grant that is in the execution phase may not be eligible for another FIF grant.

OR announces the selected grant recipients after the decision is made.

3.1.1 FIF Grant Procedure

Sr. No.	Responsibility	Procedure / Activity	Output
1	Director of OR	Director of OR announces the application deadlines in respect of FIF grants to the faculty through email.	Email containing FIF grant application deadlines
2	PI	PI submits proposal to OR through email.	Email containing project proposal form
3	Relevant Personnel (OR)	Relevant Personnel (OR) emails the proposals received along with a summary list to URC Convener.	Email containing project proposals and summary list
4	Relevant Personnel (OR)	Relevant Personnel (OR) emails the proposals received to URC Members. Proposals are numbered and the names of PIs are removed in order to ensure a blind review of the proposals. Moreover, the email also contains time slots for URC meeting to discuss and review the proposals.	Email containing project proposals and meeting time slots
5	URC	URC reviews, evaluates and ranks the submitted proposals on the basis of evaluation criteria given in the Proposal Review Form which consists of four sections (out of which first two deal with non-technical aspects and last two deal with technical aspects of the proposal). URC members review technical and non-technical aspects for the proposal coming from their own school, whereas, for the proposals coming from other schools, they review only non-technical aspects. PI may be called to present or clarify certain aspects of the proposal. URC may also use any expert reviewers, including LUMS faculty members, to form its decision.	Proposal review forms / email containing request to obtain IRB approval

		Proposals involving human and animal subjects and biological and chemical materials are referred to the IRB Convener via email to Relevant Personnel (OR).	
6	Relevant Personnel (OR) [Optional]	Relevant Personnel (OR) forwards the email containing request for IRB approval to IRB Convener.	Email containing request for IRB approval
7	IRB Convener [Optional]	IRB Convener proceeds with the approval of the proposal as per applicable LUMS policies and sends it back to the Relevant Personnel (OR).	Email/letter containing IRB approval
8	Relevant Personnel (OR)	Relevant Personnel (OR) conveys the decision of IRB to URC Convener through email.	Email/letter containing IRB's decision
9	URC Convener	URC Convener calculates z-scores of the reviewed proposals and prepares a comparative presentation of the proposals to be discussed with the Higher Management, if need be.	Presentation containing URC recommendations
10	Higher Management / Relevant Personnel (OR)	Final decision on funding is made by the OR based on the ranking performed by URC, in consultation with the VC, Provost, Director of OR and URC Convener. Relevant Personnel (OR) emails the decision regarding funding to applicants.	Email containing decision on funding
11	Relevant Personnel (OR)	Relevant Personnel (OR) announces the selected grant recipients through email to PI.	Email sent to PI
12	Relevant Personnel (OR)	Relevant Personnel (OR) creates a FIF grant account in the SAP and communicates account details to the concerned PI.	Email containing FIF account details

3.2 FIF Grant Execution

FIF grants are for one year only. In case a project requires a second year of funding, proposal may be submitted for next year's FIF award. Such proposals for funding renewal are considered in competition with other proposals.

FIF grants are administered by the OR. The following rules apply to the FIF:

1. Recipients of FIF award may not receive any fee, remuneration, compensation or salary out of the research award;
2. The FIF may not be used for attending national or international conferences;
3. The FIF may not be used to purchase any capital (i.e. personal) equipment including computers. In special cases, an approval may be granted by the VC, provided there is a strong justification;
4. All PIs are required to submit project initiation, mid-year and end-of-year reports to the OR. Detailed reporting requirements are as follows:
 - Project Initiation Report: A project initiation report on the commencement of the project and on work towards its stated objectives is due within one month of the start date of FIF award. This report should include an updated budget (if different from proposed budget) and plan of action for the first six months of the project;

- Mid-Term Progress Report: A mid-term report on the progress of the project towards its stated objectives is due at the end of first six months; and
 - Final Report: A final deliverable along with the final report is due at the end of the project. The report should describe the achievements of the stated objectives, any new proposals submitted for external funding, research publications, potential patents or research collaborations resulting from this grant.
5. Unspent funds are not available after the project deadline;
 6. Any Research Assistant (RA) hiring, salary processing or purchase of equipment under FIF grant is governed by applicable LUMS policies; and
 7. For procedural guidelines relating to approval of expenses, release of payments and other procedures, LUMS policies on procurement and payments shall be referred.

3.2.1 Project Reports Submission Procedure

Sr. No.	Responsibility	Procedure / Activity	Output
1	PI	PI submits Project Initiation Report and Mid-Term Progress Report as per specified deadlines to the OR.	Email containing FIF project report

3.3 Closure of FIF Grant

OR communicates closure of FIF grant time period to PI. Final report on the FIF grant is prepared by the PI and forwarded to OR. OR generates a consolidated report for the year, which may be used by the URC and higher management for future decisions.

3.3.1 FIF Grant Closure Procedure

Sr. No.	Responsibility	Procedure / Activity	Output
1	Relevant Personnel (OR)	Relevant Personnel (OR) communicates closure of FIF grant time-period to PI through email.	Email for intimation of grant time-period closure
2	PI	PI prepares and submits Final Report to the OR.	Email containing final report
3	Relevant Personnel (OR)	Relevant Personnel (OR) prepares consolidated report on FIF grants for the year.	Consolidated report on FIF grants

4. Waiver of Policy

In exceptional cases, and on a showing of good cause, the Vice Chancellor or his designated authority may waive a policy or procedural requirement. A waiver must be granted in writing and be specific to each case. The written request for a waiver should be timely communicated to the Office of Research (OR). Repeated waivers of any requirement shall prompt a policy review of that requirement under the LUMS governance structure. To show good cause, the written waiver shall provide reasonable justifications that:

1. The requirement being waived is impossible or impracticable;

2. The waiver does not violate any applicable law; and
3. The waiver is fair, in the best interest of the University, and narrowly tailored to address an exceptional case.

5. Special Circumstances/Exceptions

No special circumstances are identified in this policy. Each identified case of misconduct will be reviewed on its own merit.

6. Roles and Responsibilities of Policy Implementation

The major responsibilities that each party has in connection with this policy are as follows:

Faculty Member/PI is responsible for:

1. Submission of FIF proposal to OR;
2. Compliance with reporting requirements, including submission of Project Initiation Report, Mid-Term Progress Report and Final Report;
3. Execution of proposed work as per targets outlined in the proposal; and
4. Ensuring that all expenditures are in compliance with University policy.

URC is responsible for:

1. Reviewing, evaluating and ranking grant proposals; and
2. Recommending selected proposals to OR and Higher Management.

IRB is responsible for providing expertise to assist URC in making decisions about awarding grants, if proposals involve human and animal subjects or issues related to biosafety.

OR is responsible for:

1. Coordinating the overall process for FIF grants;
2. Announcing names of selected grant recipients after the decision is made;
3. Keeping Higher Management informed and raising flags, where necessary;
4. Administration of the grant, including recording of FIF grant proposals, reports and related information;
5. Creation of consolidated reports about project accomplishments which may be used by the URC to make future decisions.
6. Opening and maintaining FIF grant accounts; and
7. Provision of account details to stakeholders;

7. Title of Position with Maintenance Responsibility

OR will be responsible for maintenance of the policy including its periodic review and approval of any subsequent modifications to the said policy.

8. Consequence(s) of Non-Compliance with Policy

Each instance of non-compliance will be referred to University Research Council (URC) for review, which will finalize its recommendations for the action to be taken by VC. In all cases, the decision of VC will be final.

9. Related Documents / Policies

1. OSP-303-03 – FIF Project Proposal Form;
2. OSP-303-04 – FIF Project Initiation Report;
3. OSP-303-05 – FIF Mid-Year Report;
4. OSP-303-06 – FIF Final Report Form;
5. OSP-303-07 – FAQ – Faculty Initiative Fund; and
6. OSP-303-09 – FIF Proposal Review Form;

10. Related Laws

It is mandatory to abide by all laws and regulations as applicable in Pakistan. In certain circumstances, sponsors may require compliance with certain laws and their own statutory regulations as well.

11. Distribution & Physical Security

Access to these Policies & Procedures on the intranet portal shall be restricted and access shall be provided by Director of OR through following LUMS Access Management Process. For further information, refer Access Management Policies & Procedures. However, in case a hard copy is required, printing rights shall be granted to the respective stakeholder as part of standard Access Management Process. System shall track the number of hard copies printed against each Login ID and shall maintain log as well.

Where there is a change in responsibility of an employee, the copy / access that the employee has of policy document should be handed over to the new employee and this action shall be documented in the previous employee's handing over notes. When an employee leaves the employment of LUMS, then the copy of/access to policy document should be returned to/ revoked by the Head of Department / IT Department prior to his departure.

12. Contacts

Contact	Designation	Phone
Office of Research (OR)	Director	8336, 8207, 8042