



Lahore University of Management Sciences

Startup Grant

Policy Number: LUMS/OR/12/01/15

Approval Date: September 09, 2013

Effective Date: September 09, 2013

Version Number: 01

Last Review Date: March 11, 2020

Next Review Date:

Policy Owner: Director – OR

**Approval Authority
Signature:**

A handwritten signature in blue ink, appearing to read 'Kayani', is written over a horizontal line.

**Approval Authority
Name (Position):** University Research Council

Table of Contents

1. Purpose of Policy	4
2. Scope of Policy	4
3. Policy Statement.....	4
3.1 Eligibility Criteria	4
3.2 Startup Grant Funds.....	4
3.3 Startup Grant Proposal	4
3.4 Duration and Distribution of Grant.....	5
3.5 General Guidelines.....	5
3.6 Conclusion of Grant	5
4. Procedures.....	5
4.1 Startup Grant Award Procedure	5
4.2 Startup Grant Transfer Procedure	6
5. Waiver of Policy	6
6. Special Circumstances/Exceptions.....	6
7. Roles and Responsibilities of Policy Implementation	7
8. Title of Position with Maintenance Responsibility	7
9. Consequence(s) of Non-Compliance with Policy.....	7
10. Related Documents / Policies.....	7
11. Related Laws	8
12. Distribution & Physical Security.....	8
13. Contacts	8

Document Change Record

Author	Version Number	Change Reference	Signature	Date
OR	00		Dr. Shafay Shamail	
OR	01	Change of Department Name	Dr. Saad Azmat	March 11,-2020

Approvals

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 Startup Grant.

2. Scope of Policy

This policy is applicable to all full-time regular faculty members.

3. Policy Statement

3.1 Eligibility Criteria

Only full-time regular faculty members newly recruited on tenure track or as tenured faculty are eligible for startup grant.

3.2 Startup Grant Funds

Startup grants are awarded by the Deans of the respective schools. In case, the school decides not to award startup grants to new faculty at the beginning of their stay at the university, the school may institute any scheme for the promotion of research using these funds. Mechanism for award of startup grants in such a case may be documented and forwarded to the Vice Chancellor (VC) by the Dean.

Budgetary allocations for startup grants are made at the beginning of the financial year for all schools as well as the VC Office. The amount to be made available to a new faculty member is decided by the Dean, ensuring that sufficient funds are available for remaining faculty expected to be hired during the financial year. In case additional funds are required, the amount to be awarded is decided by the Dean and the VC with the remaining funds made available from the VC's pool. The amount available to the new faculty member as a startup grant is communicated in the offer letter.

3.3 Startup Grant Proposal

To utilize the startup grant funds, within three months of joining LUMS, each new faculty member offered a startup grant, is expected to write a short startup grant proposal outlining how the funds are to be spent, duration of work, annual distribution of funds requested and expected output. Startup grant is unrestricted in nature; however, it is required to submit a high level budget distribution of allocated funds, according to the guidelines given in LUMS policy on budget guidelines. The proposal is forwarded to the Office of Research (OR). OR verifies the amount of startup grant from the offer letter and creates a startup grant account in the name of the grantee. The proposal may be modified at any time by the faculty member with the approval of the Dean and is forwarded to OR.

3.4 Duration and Distribution of Grant

The startup grant is intended to support the faculty member for a maximum period of three years. In general, the startup grant is equally divided over the period of time for which it has been granted. However, changes pertaining to annual distribution of the grant may be negotiated by the faculty member with the Dean, who would ensure that the total funds available to the school in the financial year are not exceeded.

3.5 General Guidelines

1. Grantee shall submit a report on the utilization of startup funds to OR on an annual basis.
2. All expenses incurred, research equipment purchased and salaries paid through startup grant funds are governed by the applicable LUMS policies.
3. Any intellectual property developed through startup grant funds is governed by the applicable LUMS policies.
4. Startup grant may not be used to pay summer salary to the grantee.
5. For procedural guidelines relating to approval of expenses, release of payments and other procedures, LUMS policies on procurement and payments shall be referred.

3.6 Conclusion of Grant

At the successful completion of the startup grant period, if there are any unutilized funds left and if the faculty member has managed (as Principal Investigator) to secure external grants (research and travel) worth at least Rs. 2 Million, then 100% of these funds are transferred to the grantee’s overhead account. Otherwise 50% of these funds are transferred to the grantee’s overhead account and the remaining funds are transferred to the main University account.

However, in the following cases the remaining funds in the startup grant account are completely transferred to the main University account and the startup grant account is closed:

1. Resignation or completion of contract of grantee; or
2. Withdrawal of startup grants facility by the University.

4. Procedures

4.1 Startup Grant Award Procedure

Sr. No.	Responsibility	Procedure / Activity	Output
1	Newly recruited Faculty Member (Grantee)	A newly recruited Faculty Member (Grantee) submits startup grant proposal including budget to OR.	Startup grant proposal including budget
2	Relevant Personnel (OR)	Relevant Personnel (OR) verifies the amount of startup grant requested from the offer letter issued to the Faculty	Creation of startup grant account in the name of grantee

		Member. Upon confirmation, Relevant Personnel (OR) creates startup grant account in the name of grantee and allocate budget.	
--	--	--	--

4.2 Startup Grant Transfer Procedure

Sr. No.	Responsibility	Procedure / Activity	Output
1	Faculty Member (Grantee)	At the end of startup grant term, Faculty Member (Grantee) requests Relevant Personnel (OR) to transfer the leftover amount in the startup grant account to his/her overhead account. OR checks the percentage of amount to be transferred and transfers it accordingly. Whereas, the remaining funds are transferred to University main account.	Transfer of startup grant funds

5. 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.

6. Special Circumstances/Exceptions

This policy would be implemented for periods starting and closing after November 1, 2013. Faculty members with ongoing Startup Grant Awards would be required to submit the Startup Grant Proposal by December 1, 2013.

In case of startup grants awarded to faculty hired prior to November 1, 2013, where the offer letter did not contain any end date for utilization of funds, and a period of more than three years has passed, the principle of securing of external grants worth at least Rs. 2 Million would be applied. If the faculty member has managed (as PI) to secure external grants (research and travel) worth at least Rs. 2 Million, then 100% of the remaining funds that lapsed on June 30th would be transferred to the grantee’s overhead account. Otherwise, these funds would be transferred to University main account.

7. Roles and Responsibilities of Policy Implementation

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

Faculty Member (Grantee) is responsible for:

1. Submission of startup grant proposal and modifications as required to OR;
2. Submission of annual report to OR;
3. Execution of proposed work as per budget and targets outlined in the proposal; and
4. Ensuring all expenses are in line with applicable LUMS policies.

Dean is responsible for:

1. Determination of amount of initial startup grant and its inclusion in the offer letter;
2. Ensuring that balance of lump sum for startup grants are spent during fiscal year;
3. Coordination with VC Office in case of requirement for startup grant funds exceeding budgetary limits; and
4. Overall monitoring of “burn rate” of startup grants in the School.

OR is responsible for:

1. Opening and maintenance of startup grant accounts;
2. Provision of account details to stakeholders;
3. Recording of startup proposals, reports and related information; and
4. Communication of initiation and closure of startup grant time period.

VC Office is responsible for:

1. Annual allocation of lump sum startup grant amounts to the Schools; and
2. Coordination with Schools regarding additional startup requirements.

8. Title of Position with Maintenance Responsibility

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

9. 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.

10. Related Documents / Policies

1. OSP-323-02 – Startup Grant Form.

11. 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.

12. 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.

13. Contacts

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