



Lahore University of Management Sciences

Research Equipment: Procurement, Management, Transfer and Disposition

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Table of Contents

1. Purpose of Policy	4
2. Scope of Policy	4
3. Definitions.....	4
4. Policy Statement.....	4
4.1 Purchase of Research Equipment	4
4.2 Title to Research Equipment.....	5
4.3 Management of Research Equipment	5
4.4 Shared Use of Research Equipment.....	5
4.5 Disposition of Research Equipment.....	5
5. Waiver of Policy	6
6. Special Circumstances/Exceptions.....	6
7. Roles and Responsibilities of Policy Implementation	6
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.....	7
12. Distribution & Physical Security.....	7
13. Contacts	7

Document Change Record

Author	Version Number	Change Reference	Signature	Date
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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 procurement, management, transfer and disposition of equipment relating to sponsored research in absence of sponsor instructions and guidelines.

2. Scope of Policy

This policy is applicable to research equipment relating to sponsored programmes. For research equipment to be purchased for internally funded research programmes, LUMS procurement policies shall apply.

3. Definitions

Research Equipment

Research equipment is apparatus used primarily for research. It may be purchased as a complete unit or donated or loaned by a sponsor. The main characteristics of such equipment are that it:

1. Provides long-term benefits (has an economic life of more than a year);
2. Can be identified individually;
3. Has significant replacement cost; and
4. Does not include regular lab/office supplies and materials.

4. Policy Statement

4.1 Purchase of Research Equipment

The purchase of research equipment is strictly governed by the sponsor guidelines. It may be initiated only when the equipment is essential to a research project and is not already reasonably available and accessible elsewhere on campus. LUMS policy encourages that all special purpose equipment be shared by researchers to the maximum extent possible, although this shared use must not, of course, interfere with regulations of the sponsors, the terms under which the equipment was acquired or work on a project for which the equipment was acquired.

Once the need for research equipment is established and the funds are secured, the standard procurement process of LUMS shall be adopted unless specific sponsor instructions are available. Such sponsor instructions may require the approval by a proper approving authority in the sponsoring agency. This authorization may be included in the original contract or in subsequent written correspondence.

Principal Investigator (PI) must inform the Office of Research (OR) about any equipment received as a donation from the sponsor.

4.2 Title to Research Equipment

Title to research equipment purchased with grant funds is governed by the property clauses of individual contracts. In absence of such clauses, title to such equipment is determined through mutual consent of the sponsor and the University. In circumstances in which any funds independently generated by the University are involved in purchasing research equipment (e.g. Bridge Financing), the University retains title to the equipment. All matters concerning title to research equipment are processed through the OR.

4.3 Management of Research Equipment

PIs are responsible for the custody, care and maintenance of all research equipment acquired through or furnished to their grants, contracts and other agreements. Any negligence on the PI's part in doing so shall be dealt with in accordance with LUMS policy on research misconduct. All research equipment must be tagged, inventoried and reported as per applicable LUMS policies.

4.4 Shared Use of Research Equipment

During the time research equipment is held for use on sponsored programmes, the PI shall make that equipment available for use by other projects if such use will not interfere with the work on the project for which the property was originally acquired. In accordance with these guidelines, the priority for this shared use shall be:

1. Other programmes funded by the same sponsor; then
2. Programmes not funded by the same sponsor. However, in this case, authorization of the concerned sponsor is required.

Maintenance and operating costs may be shared by researchers in proportion to shared use of the equipment. These may be handled in any manner agreed to by the parties concerned in facilitation by the OR.

4.5 Disposition of Research Equipment

Research equipment should be reported to the OR upon closure of research grant or if it becomes unserviceable or is no longer needed by the PI to conduct the sponsored research. Following termination of a sponsored research programme, OR may make arrangements with the sponsor regarding research equipment which may include:

1. Equipment is transferred to LUMS by the sponsor. In this case, equipment is transferred under the control of relevant Department Chair for use and reallocation within the department. All equipment must be tagged, inventoried and reported as per applicable LUMS policies;
2. Equipment is returned to the sponsor; or
3. Equipment is disposed of as per sponsor instructions.

In case, a PI leaves LUMS during an ongoing sponsored research programme, the arrangements related to research equipment being used in such programme are made through negotiations between the sponsor, LUMS and the new grantee, if any.

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

Any exceptions / deviations from this policy will only be approved upon informed consent by the sponsor.

7. Roles and Responsibilities of Policy Implementation

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

PI is responsible for:

1. Identifying the need for research equipment, determining if such equipment is available on campus and initiating purchase of new equipment; and
2. Making sure that equipment under his/her jurisdiction is properly used and maintained.

Department Chair is responsible for seeing that research equipment in his/her department is accounted for and optimally utilized.

Finance and Accounts (F&A) Office is responsible for maintaining inventory control as per applicable LUMS policies in collaboration with the **Information Systems and Technology (IST) Department**.

OR is responsible for:

1. Communicating with the sponsor regarding procurement, management, transfer and disposition of research equipment; and
2. Maintaining a record of research equipment pertaining to each sponsored programme as per applicable LUMS policies.

8. 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.

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

PI shall be held responsible for any misappropriation / damage to the equipment under his or her assignment / control. Any instances of non-compliance with this policy shall be dealt with in accordance with LUMS policy on research misconduct.

10. Related Documents / Policies

No such documents have been identified at this stage.

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