



Lahore University of Management Sciences

Startup Grant

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**Approval Authority
Signature:**

A handwritten signature in black ink, appearing to read 'Hussain', is written over the signature line.

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

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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
URC	Convener, URC	Dr. Irshad Hussain	April 05, 2024

1. Purpose of Policy

The purpose of this policy is to provide guidelines for the awarding and management of LUMS Startup Grants.

2. Scope of Policy

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

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. The Deans will create a mechanism for awarding startup grants, which must be documented and forwarded to the Vice Chancellor (VC) for approval.

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

Within three months of joining LUMS, each new faculty member offered a startup grant is expected to submit a short proposal outlining how the funds will be utilized, the duration of work, annual distribution of requested funds, and expected outcomes. The startup grant is unrestricted, but a high-level budget distribution of allocated funds is required, in accordance with LUMS budget guidelines. The proposal is submitted to the Office of Research (OR), which verifies the amount of startup grant from the offer letter and creates a startup grant account in the grantee's name. The faculty member may modify the proposal with the approval of the Dean, and the revised proposal is then submitted to OR.

3.3.1 Duration and Distribution of Grant

The startup grant is designed to support the faculty member for a maximum of three years. In general, the grant is divided equally over the granted period. However, the faculty member may propose changes

in the annual distribution of the grant, in consultation with the Dean. The Dean must ensure that the total funds available to the school in the financial year are not exceeded.

3.3.2 General Guidelines

1. All expenses incurred, research equipment purchased, and salaries paid through startup grant funds are governed by applicable LUMS policies.
2. Any intellectual property developed through startup grant funds is governed by applicable LUMS policies.
3. Startup grant funds may not be used to pay the grantee's summer salary.
4. LUMS policies on procurement and payments should be referred to for procedural guidelines relating to expense approval, payment release, and other procedures.
5. The grantee is required to submit a final report on the utilization of startup funds to OR.

3.4 Conclusion of Grant

Grantees must submit a final report at the end of the grant period outlining the objectives achieved with the Startup funds. The report should be sent to the OR, who will forward it to the Dean for formal feedback. If the report is deemed unsatisfactory, any unspent funds must be returned to the University.

If the grantee submits a satisfactory final report and secures external grants worth at least Rs. 2 million as a Principal Investigator, any unused funds from the startup grant will be available indefinitely for research-related activities within the startup grant. Otherwise, unused funds will be transferred to the University's main account. However, if the grantee resigns or completes his/her contract, or if the University discontinues the startup grant facility, all remaining funds in the startup grant account will be transferred to the main University account and the account will be closed.

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 Member. Upon confirmation, Relevant Personnel (OR) creates startup grant account in the name of grantee and allocate budget, once the funds are provided by the Finance Department.	Creation of startup grant account in the name of grantee

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 extend the startup grant account. OR checks if the grantee secured external funding of over Rs. 2 million and if the report is deemed satisfactory by the Dean. If the funding is secured within the startup period and the report is found satisfactory as per the Dean; OR will extend the validity of startup grant indefinitely. Else, 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 will take effect for Startup Grants awarded after April 5, 2024. Faculty members with ongoing Startup Grant Awards will be exempt from submitting a final report to the Dean and if they secure external grants worth at least Rs. 2 million as a Principal Investigator, any unused funds from the startup grant will remain available indefinitely for research-related activities within the startup grant. However, if the faculty member is unable to secure external funds, the unused funds will be transferred to the University's 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.
5. Evaluating the final report from the PI and deciding the fate of remaining funds.

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.
2. OSP-323-03 – STG Final Report 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