



University of King's College

Research Equipment Policy *

(Adopted by Faculty October 3, 2016 and Board of Governors October 13, 2016))

Background and Purpose:

To confirm the rights and responsibilities of the University of King's College, King's researchers and other members of the King's community in relationship to the ownership, use, transfer and disposal of equipment purchased with research funds administered by King's.

Application:

The Policy applies to members of the King's community engaged in research.

Definitions in this Policy:

- a) "Complete" means the date identified in a research grant or contract as the end of the project, typically the date for the completion of deliverables for a contract or delivery of a final report for a grants.
- b) "Faculty" means employees that are teaching as tenured, tenure-track, sessional, and teaching/senior fellows in the humanities.
- c) "Equipment" means items used for an active research project at King's. Unless specified, Equipment is any item (or interrelated collection of items that make up a system), including research infrastructure such as scientific collections and information databases, that has a useful life of more than one (1) year and an original cost of \$1,000 or more.
- d) "Principal investigator" means the King's faculty member who has primary responsibility for the design, execution and management of a research project. A Principal Investigator may include any of the following: Project or Team Leader, Principal or Primary Applicant, Scientific Director, Director or Nominated Principal Investigator.
- e) "Responsible Academic Leader" means the individual in the Bursar's office responsible for making recommendations under this Policy for the transfer or disposal of Equipment to the Vice President.

- f) "Sponsor" means the person, agency, program or organization providing funding to support a King's research project.
- g) "Unit" means King's Programme, School or Centre/Institute within which the Equipment resides.

**As adapted from Dalhousie University's Research Equipment Policy (July 2015).*

***Policy Statement:**

1. All aspects of ownership, use, transfer and disposal of Equipment are subject to this Policy unless there are express requirements to the contrary in the applicable research grant or contract.
2. **Procurement:** The King's Purchasing Policy and related procedures must be followed with purchasing and disposing of Equipment.
3. **Ownership of Equipment:** Equipment purchased with research funding administered by King's is owned by King's.
4. **Use of Equipment:**
 - a) The Principal Investigator is responsible for ensuring that Equipment is used for the research project for which it was purchased and in a manner that is consistent with Sponsor requirements.
 - b) The Principal investigator is responsible for overseeing the day-to-day care, maintenance, supervision, housing and for taking other reasonable measures to protect it during its useful life.
 - c) In order to ensure maximum use of Equipment, Principal Investigators will share Equipment with other researchers to the extent that doing so does not interfere with the research project for which they were provided funding.
 - d) When the research project for which the Equipment was originally purchased is Complete, the Principal Investigator may continue to use the Equipment for his or her research activities.
 - e) Principal Investigators or Facility directors, where applicable, are responsible to communicate with Bursar's office to confirm the value of the Equipment and to ensure the Equipment has appropriate insurance coverage.
5. **Transfer of Research Funds:**
 - a) Where research funds are transferred from King's to a partner University as a co-investigator, Equipment purchased by the partner University with those research funds will be owned by the partner University with those research funds will be owned by the partner University unless:

- i. The face value of the Equipment is \$25,000 or more; or
- ii. King's determines that the Equipment purchased is of strategic value to King's

In which case the Equipment will remain the property of King's.

- b) When the research project is complete, King's Equipment will be returned to King's.

6. Transfer or Disposal of Equipment with a value of \$5,000 or greater:

- a) The transfer or disposal of Equipment requires the written approval of the Vice-President and Bursar.
- b) If a Principal Investigator relocates to another Canadian academic institution and asks to transfer research funding, together with Equipment purchased with those funds, during the research project, the Vice-President will approve the transfer in accordance with section 8.A. of the Procedures, unless the Sponsor has specified limits on transferring the Equipment or doing so adversely impacts other co-investigators engaged in the research project.
- c) If the Principal Investigator relocates to another academic institution and asks to transfer Equipment purchased for a research project after the research project is Complete, the Equipment may be retained by King's or transferred as requested, in accordance with section 8.B. of the Procedures.
- d) When the Principal Investigator no longer wishes to use the Equipment and no other King's researcher wants to use the Equipment for their research projects, it may be disposed of in accordance with section 8.C. of the Procedures.
- e) Proceeds from the disposal of Equipment, net of disposal costs, will remain with the home Unit of the original research project and, to the extent possible, will be used for research activities.

7. Administrative Structures:

- a) Authority: This Policy falls under the authority of the Vice-President.
- b) Conflict of Interest: Where the Responsible Academic Leader is unable to discharge his or her responsibilities under this policy because of a potential conflict of interest, as defined in the Policy on Conflict of Interest, the Vice-President, or his or her designate, will undertake the Responsible Academic Leader's responsibilities.
- c) Record Keeping: Records kept pursuant to this Policy will be maintained and stored securely in the office of the appropriate Responsible Academic Leader.

- d) Policy Review: This Policy will be reviewed no later than the end of the fifth year of its operation.

8. **Procedures for Equipment with a value of \$5,000 or greater:**

A. **Transferring King's-owned Equipment with a Principal Investigator during a Research Project:**

- a) A Principal Investigator who leaves King's to undertake his or her ongoing research project at another Canadian academic institution, and who wishes to transfer Equipment purchased for that research project to that institution, must make a written request to the Responsible Academic Leader.
- b) The Responsible Academic Leader will consult with the Vice-President, as appropriate, and assess whether:
 - i. The Sponsor has specified limits on transferring the Equipment as requested; or
 - ii. Whether transferring the Equipment would adversely impact other co-investigators at King's who are engaged in that research project.
- c) If the answer to 8.A.b)i or ii is yes, the Responsible Academic Leader will recommend that the Vice-President deny the request.
- d) If the answer to 8.A.b)i. and 8.A.b)ii is no, the Responsible Academic Leader will recommend that the Vice-President transfer the Equipment as requested.
- e) The Vice-President may accept a Responsible Academic Leader's recommendation or direct him or her to obtain any additional information the Vice-President believes is relevant to making a decision.
- f) Prior to approving the Equipment transfer, the Vice-President will require the transferee institution to confirm in writing that:
 - i. The Principal Investigator has an appointment there;
 - ii. The equipment will be continue to be used in the research project for which it was purchased; and
 - iii. The transferee institution will pay all transportation and related costs.

B. **Transferring King's-owned Equipment with a Principal Investigator after a research project is Complete:**

- a) Equipment remains the property of King's if the research project that it was purchased for is complete.

C. Disposing of King's-owned equipment:

- a) Where a Principal Investigator confirms he or she no longer wants to use Equipment for research activities, the Responsible Academic Leader will consult and recommend that the Vice-President dispose of the Equipment where:
 - i. there are no other King's researchers currently using the Equipment for research activities;
 - ii. there are no other King's researchers within the Principal Investigator's home Unit who want to use the Equipment for research activities;
 - iii. there are no other King's researchers within the rest of the University who want to use the Equipment for research activities. The Responsible Academic Leader will consult with King's other Responsible Academic Leaders to make this determination; and
 - iv. keeping the Equipment is not of strategic value to King's.
- b) The Vice-President may accept a recommendation to dispose of the Equipment or direct the Responsible Academic Leader to obtain any additional information she or he believes is relevant to making a decision.
- c) Where the Vice-President approves the disposal of equipment, the Responsible Academic Leader will ensure the Equipment is disposed of by quote, auction, or other method as approved by King's Bursar.

October 13, 2016