

Purchase or Development of Equipment with Additional Infrastructure Needs

Policy Owner: Office of the Vice Provost for Research
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Policy Contact: Associate Vice Provost for Research Administration & Development

REASON FOR POLICY

Tufts University engages annually and throughout each academic year in rigorous capital planning processes to understand the needs of the different schools for capital expenditures and the available supply of cash to carry out these competing needs. In addition, the University reviews and approves all individual requests for capital expenditures as they arise throughout the year. **This policy applies to purchases or development of equipment for which the University is required to build/renovate/relocate space and/or support costs associated with installation, operations, and maintenance.** The policy provides a framework for the analysis of costs generated beyond the cost of equipment purchase. Grant proposals that obligate the University to build/renovate/relocate space to accommodate new equipment must be considered and quantified as part of this policy.

POLICY PRINCIPLES

The investigator must discuss the following considerations with the school's or center's Executive Associate Dean (EAD) and/or Dean or equivalent before committing to the purchase or development of equipment:

- Space for equipment. The space may exist (the investigator currently has the necessary and appropriate space as part of his/her existing labs) or may need to be identified (current facilities do not accommodate equipment/space needs of the proposed project)
- Space attributes (e.g., high bay, low vibration, dark, etc.) and adjacency of space (e.g., near loading dock, near a lab, in a building, etc.)
- Occupancy type (graduate or undergraduate students, technicians, etc.), count, Tufts/non-Tufts employees
- Costs associated with installation, renovation, outfitting and other space-related expenses not included in the equipment acquisition
- Incidental and maintenance costs that will be the University's responsibility
- Any need for additional necessary services such as power, cooling, heating, water, gas, nitrogen, etc. if the proposed space does not have all the services required for operation of the equipment
- Any relocation costs of people in the identified space
- Any exceptional utility, security, or other costs that this equipment will trigger
- Any air emissions, wastewater discharge, solid waste or hazardous waste or exposure that the equipment may produce
- Any additional costs necessary to make the equipment fully functional or, if extramurally funded, meet the conditions of the award.

If proposed equipment is endorsed by the school or center, the EAD will refer the investigator to the Campus Planning for **feasibility determination** and to address any space-related questions. Equipment specifications

(e.g. footprint, height, images, etc.) are required as part of confirming the appropriateness of the identified space.

If equipment may produce any air emissions, wastewater discharge, solid waste or hazardous waste or exposure, the investigator must work with Environmental Health and Safety Office before any purchasing decisions are made to complete the **risk assessment**.

If a sponsored proposal is contemplated, the feasibility determination and the risk assessment must be completed prior to finalizing the proposal. Please allow at least three weeks (in addition to the [five-day proposal lead time](#)) for the Campus Planning and Environmental Health and Safety Office reviews. The OVPR Pre-Award office will review the information prepared for submission to the sponsor agency to ensure that institutional obligations are addressed appropriately and not reflected as voluntary committed cost share (please allow additional time for revisions of the proposal prior to the deadline).

Business Plan

If equipment will be used for a new service center, a business plan must be developed before internal approvals are granted. The investigator should work with Finance and Planning, and the Budget Center to prepare the following information:

- **Projected Expenditures**
 - Salaries, equipment maintenance, supplies, facility costs
 - For sponsored proposals where cost sharing is required, any ongoing costs after cost sharing is fulfilled. In consultation with Pre-Award, and Finance and Planning, please review Tufts University [cost sharing policy](#) and funding agency cost sharing requirements to ensure congruity.
- **Projected Income**
 - Usage, hours billed, and income generated.
- **Space costs**
 - Square footage, rent, Operation and Maintenance, move in, build out costs
- **Rate Analysis**
 - Data on expenses and hours
- **Supply and demand**
 - Market comparisons
 - Estimate of internal vs. external users.

Please contact Director of Financial Planning at 617-627-3719 for assistance and additional information regarding the business plan.

POLICY IMPLEMENTATION

The office of the Executive Associate Dean (EAD) or equivalent ensures that all required considerations are adequately addressed before the commitment is made to purchase or develop equipment, whether or not sponsored funding is contemplated.

When sponsored funding is sought, Lead Research Administrator at the school or center works closely with the EAD and the investigator to facilitate the appropriate reviews prior to finalizing the proposal.

OVPR Pre-Award Research Administration ensures that any sponsored proposals that involve purchases or development of equipment are in alignment with the institutional approvals and sponsor agency requirements.

RELATED LINKS AND INFORMATION

[Tufts University Service Center Policy](#)

[Tufts University Cost Share Policy](#)

[5-Day Rule: Institutional Review Process for Proposal Submission](#)

[CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards Subpart D §200.313 Equipment](#)