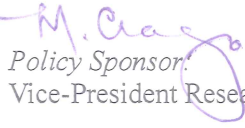
 DALHOUSIE UNIVERSITY <i>Inspiring Minds</i>	 <i>Policy Sponsor:</i> Vice-President Research	<i>Approval Date:</i> July 9, 2015
	Research Equipment Policy <i>Responsible Unit:</i> Research Services	<i>Revisions:</i>

A. **Background & Purpose:**

The purpose of this Policy is to confirm the rights and responsibilities of Dalhousie University, Dalhousie researchers and other members of the Dalhousie University community in relation to the ownership, use, transfer and disposal of equipment purchased with research funds administered by Dalhousie.

B. **Application:**

This Policy applies to members of the Dalhousie University community who are engaged in research.

C. **Definitions:**

1. 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 grant.
- b. "Core Facility" means any of the following Core Facilities in the Faculty of Medicine: Animal Care Facility, Cellular and Molecular Digital Imaging Facility, Enhanced Gene Analysis and Discovery Facility, Flow Cytometry Facility, Maritime Brain Tissue Bank, Zebrafish Lab, Proteomics and Mass Spectrometry Facility, and any Core Facility as designated by the Dean of the relevant Faculty from time to time.
- c. "Equipment" means items used for an active research project at Dalhousie. Unless otherwise specified by the Sponsor, 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 1 year and an original cost of \$2,000 or more.
- d. "Principal Investigator" means a Dalhousie faculty member who has primary responsibility for the design, execution and management of a research project. Specifically, but not to limit the foregoing, a Principal Investigator may include any of the following: Project or Team Leader, Principal or Primary Applicant, Scientific Director, Chair or Nominated Principal Investigator.

- e. "Responsible Academic Leader" means the individual responsible for making recommendations under this Policy for the transfer or disposal of Equipment to the Vice-President Research. In the case of Equipment at:
 - i. All Faculties, except the Faculties of Medicine, Health Professions, Law and Computer Science it is the appropriate Department/School/College Head, Chair or Director;
 - ii. The Faculties of Medicine and Health Professions, it is the Associate Dean of Research;
 - iii. The Faculties of Law and Computer Science it is the Dean; and
 - iv. Dalhousie Centres and Institutes approved by Senate, it is the Executive Director, or equivalent.
- f. "Sponsor" means the person, agency, program or organization providing funding to support a Dalhousie research project.
- g. "Unit" means the Dalhousie Department, School, College, Faculty or Centre/Institute within which the Equipment resides.

D. **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 Dalhousie Procurement Policy and related procedures must be followed when purchasing and disposing of Equipment.
3. **Ownership of Equipment:** Equipment purchased with research funding administered by Dalhousie is owned by Dalhousie.
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. For Equipment housed within a Core Facility, the director/manager of the Core Facility along with any users' committee will provide this oversight.
 - c. In order to ensure maximum use of Equipment, Principal Investigators will share Equipment with other Dalhousie 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 Core Facility directors/managers, where applicable, are responsible to communicate with Financial Services 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 Dalhousie 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 unless:
 - i. the face value of the Equipment is \$25,000 or more; or
 - ii. Dalhousie determines that the Equipment purchased is of strategic value to Dalhousiein which case the Equipment will remain the property of Dalhousie.
 - b. When the research project is complete, Dalhousie Equipment will be returned to Dalhousie.
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 Research.
 - 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 Research will approve the transfer in accordance with section F.1. 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 Dalhousie or transferred as requested, in accordance with section F.2. of the Procedures.
 - d. When the Principal Investigator no longer wishes to use the Equipment and no other Dalhousie researcher wants to use the Equipment for their research projects, it may be disposed of in accordance with section F.3. 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.

E. **Administrative Structure:**

1. **Authority:** This Policy falls under the authority of the Vice-President Research.
2. **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 University Policy on Conflict of Interest, the Vice-President Research, or his or her designate, will undertake the Responsible Academic Leader's responsibilities.
3. **Record Keeping:** Records kept pursuant to this Policy will be maintained and stored securely in the office of the appropriate Responsible Academic Leader.
4. **Policy Review:** This Policy will be reviewed no later than the end of the second year of its operation.

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

1. **Transferring Dalhousie-owned Equipment with a Principal Investigator during a Research Project:**
 - a. A Principal Investigator who leaves Dalhousie 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 Dean, 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 Dalhousie who are engaged in that research project.
 - c. If the answer to F.1.b.i or ii is yes, the Responsible Academic Leader will recommend that the Vice-President Research deny the request.
 - d. If the answer to F.1.b.i and ii is no, the Responsible Academic Leader will recommend that the Vice-President Research transfer the Equipment as requested.
 - e. The Vice-President Research may accept a Responsible Academic Leader's recommendation or direct him or her to obtain any additional information the Vice-President Research believes is relevant to making a decision.
 - f. Prior to approving the Equipment transfer, the Vice-President Research 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.

2. Transferring Dalhousie-owned Equipment with a Principal Investigator after a research project is Complete:

- a. A Principal Investigator who leaves Dalhousie to undertake research activities at another Canadian academic institution and wishes to transfer Equipment purchased for a research project after that project is Complete must make a written request to the Responsible Academic Leader.
- b. Upon receiving a written request under section F.2.a., the Responsible Academic Leader will consult with the Dean, as appropriate, and consider whether:
 - i. The Sponsor has specified limits on transferring the Equipment as requested;
 - ii. Other Dalhousie researchers are using the Equipment for their research activities or express an interest in using the Equipment for existing research projects. The Responsible Academic Leader will consult with Dalhousie's other Responsible Academic Leaders to make this determination; or
 - iii. Keeping the Equipment is of strategic value to Dalhousie.
- c. If the answer to section F.2.b.i., ii., or iii. is yes, the Responsible Academic Leader will recommend that the Vice-President Research deny the request.
- d. If the answer to section F.2.b.i., ii., and iii. is no, the Responsible Academic Leader will recommend that the Vice-President Research transfer the Equipment as requested.
- e. The Vice-President Research may accept a Responsible Academic Leader's recommendation or direct him or her to obtain any additional information the Vice-President Research believes is relevant to making a decision.
- f. Prior to approving the Equipment transfer, the Vice President Research will require the written confirmation outlined in section F.1.f.

3. Disposing of Dalhousie-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 with the appropriate Dean and recommend that the Vice-President Research dispose of the Equipment where:
 - i. there are no other Dalhousie researchers currently using the Equipment for research activities;
 - ii. there are no other Dalhousie researchers within the Principal Investigator's home Unit who want to use the Equipment for research activities;
 - iii. there are no other Dalhousie researchers within the rest of the University who want to use the Equipment for research activities. The Responsible Academic Leader will consult with Dalhousie's other Responsible Academic Leaders to make this determination; and

- iv. keeping the Equipment is not of strategic value to Dalhousie.
- b. The Vice-President Research 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 Research 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 Dalhousie's Director of Procurement.