

## Academic Enterprise SOP for routine capital equipment approval requests *Working Draft*

### OVERVIEW

All capital approval requests will originate in **Workday Capital Planning**. A unique Capital Request ID number is auto assigned to every request and tied to a Project ID. Academic Enterprise division leaders review and approve requests directly in the Capital Planning tool. The Project ID and Capital Request ID are required for a Workday capital purchase requisition to be completed.

**Workday Capital Planning** is used for both current fiscal year approvals to purchase, and for longer range strategic planning for future capital needs. **This SOP focuses on routine capital equipment approvals for current year purchase and academic research use only.**

While a Project ID and Capital Request ID are not required for leased equipment projects, these are considered a capital budget obligation because all asset additions need to be assessed in context of overall strategic priorities and considering all other capital requests. Therefore, **leased projects should be submitted in Workday Capital Planning for review and approval.**

Note: see Leasing Decision Tree in **Notes** section at end of this SOP.

### DEFINITIONS

Capital equipment: single item or system that:

- Is durable (economic useful life greater than one year) **and**
- Costs >\$5,000 per unit inclusive of purchase, installation & shipping/freight.
- Includes laptop and desktop purchases with a total quote amount >\$5,000
- Any freezer

Leased equipment: equipment that is used at VUMC subject to a multi-year lease contract in which the lessor (equipment owner entity) gives the lessee (equipment user entity) exclusive rights to use and possess equipment for a periodic (e.g. monthly, quarterly) fee over a specified period. At VUMC, leasing is an option for items with cost >\$250,000.

Expensed, non-capital or operational equipment: single items that:

- Are not durable (economic useful life of one year or less) **or**
- Have a unit cost <\$5,000 (cost includes equipment, installation & shipping/freight).
- Includes laptop and desktop purchases with a total quote amount <\$5,000

Replacement equipment: an item that will replace a similar or older item that is going out of service.

New equipment: an item that will add or increase capability.

Freezer: a -20 or -80°C freezer typically located in an equipment corridor or other laboratory space in a research area, that is assigned and managed to support a research program.

SBAR: Situation-Background-Assessment-Recommendation, a framework for reviewing requests.

## **ACCESS AND SECURITY ROLES**

### Department Capital Requestor

This role enters capital request details into the Workday Capital Planning tool, ranks each capital request in order of priority, and works with Chief Business Officer or Divisional Administrative Officer for departmental level approvals.

Note: **All renovations** are entered into Workday Capital Planning by Space & Planning

### Department/Entity-level Approver

This role is typically the Chief Business Officer or Divisional Administrative Officer

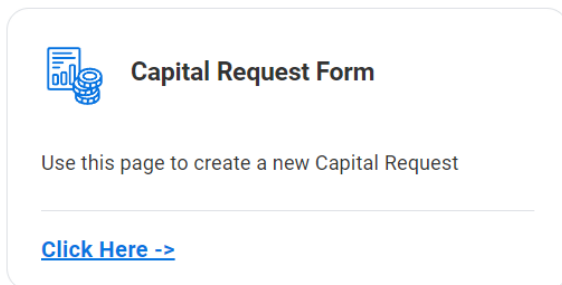
- Ranks and approves Institutionally funded capital requests <\$10K
- Ranks and approves Grant, Active Contract, Gift Funded <\$25K
- Completes 5-year forward looking Planning (see separate SOP)

Note: **All renovations** are approved by Space & Planning

## **GUIDELINES FOR COMPLETING THE CAPITAL REQUEST FORM**

These guidelines are intended to help requestors and business officers prepare materials and information needed to complete the capital request form. Refer to the following Learning Exchange module **WDPL-201 Capital Planning** for more specific step by step instructions on how to access the forms and other functionality in the Capital Planning tool.

To begin, in the Capital Planning module select the **Capital Request Form**:



### Step 1: Contact Information

**Primary Contact:** The requestor's name will auto-populate. Ensure this contact is someone who has sufficient knowledge of the project, funding *and* departmental/administrative requirements, to answer questions from a reviewer. It is not recommended to list the Principal Investigator as the primary contact. This individual will receive the system generated message once the project is approved

**Secondary Contact:** It is recommended to list the Chief Business Officer or their delegate as the secondary contact.

### Step 2: Capital Request Details

**Capital Request Name:** Enter the equipment name, for example "Cell Sorter" "DNA Sequencer"

Note: Be sure to specify the equipment in this field. Do not use the PI name, or Vendor name,

**Capital Request Description:** Include the following:

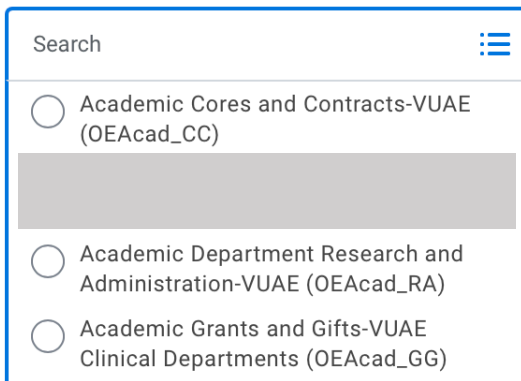
- Department (and division if applicable)
- Faculty/PI name
- Manufacturer, model number, and full instrument name
- If applicable, indicate the project is a lease

**Required:** Use the **Upload** button to provide the instrument quote, effective for 90 days.

**Area:** Select Academic Enterprise

**Operating Entity:** Select appropriate to funding type:

Operating Entity \*



Search

Academic Cores and Contracts-VUAE (OEAcad\_CC)

Academic Department Research and Administration-VUAE (OEAcad\_RA)

Academic Grants and Gifts-VUAE Clinical Departments (OEAcad\_GG)

- If using core facility or contract funds, select **Academic Cores and Contracts – VUAE (OEAcad\_CC)**
- If using APS, other institutional or departmental unrestricted funds, select **Academic Department Research and Administration – VUAE (OEAcad\_RA)**
- If using grant or gift funding, select **Academic Grants and Gifts – VUAE Clinical Departments (OEAcad\_GG)**

**Department/PCC:** Select from list, or use “Other” if you do not see your Department listed.

**Fiscal Year:** Select current year for routine approval to purchase.

**Capital Request Start Date:** Date that you plan to begin the sourcing process. *Do not back date.*

**Capital Request End Date:** Date that you plan for item to be purchased and delivered.

**In Service Date:** Date that you plan for the item to be in use.

### Step 3: Capital Request Type and Cost

**Project Management Team:** For routine approval to purchase, select “Direct to Sourcing”

**Location ID:** Use the Search function to find and select the end user delivery location for the new item.

**Request Type:** Select “Equipment.”

Note: Do not select Construction/Renovation; these must be submitted directly to Space & Planning.

**Equipment & Furniture Cost:** Enter full cost including required accessories, installation and freight, to the nearest dollar.

**IT Cost:** If applicable, enter estimated costs associated with new IT infrastructure, to the nearest dollar.

Upload details if available. *If n/a or unknown, leave blank.*

#### Step 4: Dependencies

**Key Dependencies:** Select an option if known, or leave blank.

#### Step 5: SBAR Details

For AE requests, the SBAR – Justification fields have been adapted, and are required as follows:

**SBAR Situation:** Provide funding details including cost centers, worktag numbers and names, showing % distribution.

**SBAR Background:** Provide justification, including brief list/description of the project(s) that will be supported, highlighting grant funded projects if applicable.

**SBAR Assessment:** *Leave blank if the following are not applicable.*

If a VUMC or VU core will house and manage the equipment:

- List name of core and core manager

If a freezer is requested:

- Describe the daily need/use of the freezer to explain/justify need for immediate access
- Indicate replacement vs. new. If replacement, what is the plan for discarding the old freezer? If new, where will it be housed?
- Indicate if a freezer farm space is requested and provide the following details:
  - Grants supported – list
  - Investigators supported – list name(s) and department(s)
  - Justification for why the Glenrose Biospecimen facility cannot be used instead.
  - Management of the freezer(s) – list name(s) and department(s)

**SBAR Recommendation:** Indicate approval by the department chair or CBO for this request. Summarize any other funding commitments/support for this project from department chair, center/institute director, and/or executive leadership. Examples include reference to a startup package, APS commitments, or leadership commitments.

#### Step 6: Sourcing Details

This section may be skipped.

#### Step 7: Capital Request Category

**Routine or Strategic:** Select “Routine” Do not select Strategic.

**Intensity Factor:** Select most appropriate option

**Category:**

- If new, select “Health/Safety/Regulatory”
- If replacement, select “End of Support/Life”
  - add End of Support Date in pop-up field.

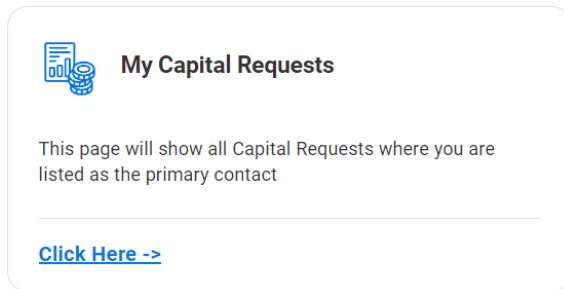
**Classification:** Select most appropriate option

**Operating Expense:** Provide to nearest dollar, or leave blank if n/a or unknown.

### Capital Request Form Summary

Review your entries. Select “Back” to page back and review or revise.  
Select “Submit” when ready.

The Primary Contact requestor can also use the **My Capital Requests** tile to review and edit pending requests, view status, and find the assigned Capital Request ID Number:



### Additional notes:

- The primary and secondary contacts on the capital request may be asked to provide additional information to support review. Once approved, the contacts will receive Workday generated email with approval details.
- Once the request is approved, department personnel will use the Project ID Number to complete a purchase requisition in Workday. The unique Capital Request ID should be noted in the requisition memo field.
- Contact Susan Meyn [s.meyn@vumc.org](mailto:s.meyn@vumc.org) for questions about capital requests and approvals.

