

SEATTLE CHILDREN'S HOSPITAL RESEARCH INSTITUTE

OPERATING POLICIES / PROCEDURES

DEPARTMENT: Research Institute Administration

POLICY NUMBER: RIA-755

REPLACES: NA

EFFECTIVE DATE: September 1, 2007

REVISION DATE: NA

POLICY TITLE: **Equipment: Inventory & Record Maintenance**

**POLICY:** It is the policy of the Seattle Children's Hospital Research Institute (Research Institute) to comply with the Equipment Standards imposed by Office of Management and Budget (OMB) Circular A-110, \_\_.34, other stewardship obligations, and good management practices. To that end, the Research Institute will maintain an accurate inventory of Capital Equipment and will conduct a physical inventory to confirm or adjust said inventory.

**KEY CONTACTS:**

Direct any general questions about Capital Expenditures, to your Center Business Manager. If you have questions about specific issues, contact the following:

| Subject                          | Contact                      | Telephone |
|----------------------------------|------------------------------|-----------|
| Policy Clarification             | Research Operations          | 884-7309  |
| Disposition of Equipment         | Research Operations          | 884-7309  |
| Maintenance (Facilities)         | Building & Engineering       | 884-7461  |
| Purchase and Acquisition         | Research Purchasing          | 884-7435  |
| Sponsored Programs               | Office of Sponsored Research | 884-7822  |
| Tagging                          | Building & Engineering       | 884-7461  |
| Physical Inventory               | Research Operations          | 884-7309  |
| Valuation of Capital Assets      | Finance                      | 987-4853  |
| Transfer of Equipment, within RI | Building & Engineering       | 884-7461  |

**PROCEDURE:**

**755.1. Tagging**

- 755.1.1. Research Receiving staff locate and affix an Archibus FM inventory barcode tag as well as Children's Institutional Asset Tag to each piece of Capital Equipment, recording the physical location and providing a detailed description of each item. For detailed information, refer to RIA Policy "Equipment: Receiving, Tagging, and Establishment." (RIA-753)

## **755.2. Physical Inventory of Capital Equipment**

755.2.1. The purpose of the physical inventory is to update the capital Equipment inventory database, so as to comply with government requirements for reporting of assets and to provide an accurate capital Equipment inventory.

755.2.2. The Physical Inventory process will be conducted not less often than every other year.

### *755.2.3. Establishing Baseline*

755.2.3.1. When taking a new physical area on line, Research Operations will conduct a review of the Equipment located in the new area and will record all Equipment items.

755.2.3.2. Recorded information will be utilized to update the Archibus FM Equipment Records, and will cause update to the Lawson Asset Records, if indicated.

### *755.2.4. Retagging:*

755.2.4.1. Capital Equipment is retagged when the capital Equipment is found without a tag or if a tag is old or damaged. Every effort will be made to match up existing Equipment with existing Equipment records. If efforts to associate unmarked Equipment with an existing Equipment Record are unsuccessful, said Equipment will be assigned a new inventory number. Research Operations staff will complete and submit Request to Add Asset to Equipment Records Form (Attachment B). This will cause update the Archibus FM Equipment Records, and will cause update to the Lawson Asset Records, if indicated. This will also cause Research Receiving to generate a new asset tag, which they will affix to the identified Equipment.

### *755.2.5. Physical Inventory, Bi-Annual*

755.2.5.1. Research Operations generates listing of Equipment items by recorded location ("Equipment List").

755.2.5.2. Research Operations staff physically verifies Equipment location and records same on Equipment List.

755.2.5.3. Equipment on Equipment List, but relocated: If review identifies Equipment in new location, this location will be recorded. This will cause update the Archibus FM Equipment Records.

755.2.5.4. Equipment on Equipment List, not locatable: If review is unable to locate Equipment it will be presumed lost. Research Operations will complete Request to Delete Non-Locatable Property due to Theft or Loss form (Attachment C) and forward form to Children's Finance Office, for deletion from the Lawson Asset Records, and will update Archibus FM Equipment Record from "Active" to "Lost."

755.2.5.5. When there is reasonable cause to believe that Research Institute property has been lost, destroyed, or damaged through the negligence or fault of any official or employee, the loss, destruction, or damage shall be

reported immediately to the Vice President, Research. The Vice President, Research may elect to investigate the matter and, if the investigation discloses that the Research Institute has sustained an injury through the fault of an official or employee, the Vice President, Research may make written demand upon such individual for reimbursement to the Research Institute for the loss so sustained.

755.2.5.6. Equipment not on Equipment List, but located: In the event that the Physical Inventory identifies an Equipment item that is not represented on the Equipment List, but this Equipment is tagged (representing that it is recorded in the Lawson Asset Records), Research Operations staff will cause update to the Archibus FM Equipment Records by completing Request to Add Asset to Equipment Records Form (Attachment B). If the identified Equipment is not tagged, Research Operations staff will follow Retagging procedure, above.

755.2.6. *Moving Equipment*

755.2.6.1. In the normal course of business, it will become necessary to relocate Equipment. The moving party is responsible to communicate relocation need and destination information by completing Request to Relocate/Transfer Equipment Item Form (Attachment A).

755.2.6.2. Moving with B&E Support: If the Equipment relocation requires support by B&E (for physical move, services coordination, vendor coordination, or similar), requestor must complete Request to Relocate/Transfer Equipment Item Form (Attachment A). This will cause update the Archibus FM Equipment Records, as well as provide opportunity to alert B&E of the need for work.

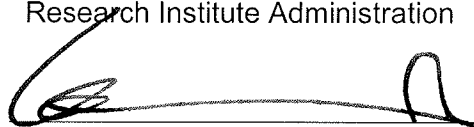
755.2.6.3. Moving Without Support: If the Equipment relocation can be accomplished by lab staff, requestor must complete Request to Relocate/Transfer Equipment Item Form (Attachment A). This will cause update the Archibus FM Equipment Records.

**755.3. Compliance Expectations**

755.3.1. It is the Research Institute's expectation that all staff and faculty actively support the integrity of the Archibus FM Equipment Records and the Lawson Asset Records, and therefore expects adherence to the requirements of this policy. Incidences of non-compliance shall be reported to the Vice President, Research for corrective action or disciplinary action.

**Submitting Office:** Research Institute Administration

**Approved by:**

  
Erik M. Lausund, Vice President,  
Research Operations and Logistics

11/8/07  
Date

## **References**

CIRCULAR A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, <http://www.whitehouse.gov/omb/circulars/a110/a110.html>

## **Attachments**

Request to Relocate/Transfer Equipment Item Form (Attachment A).

Request to Add Asset to Equipment Records Form (Attachment B).

Request to Delete Non-Locatable Property Due to Theft or Loss form (Attachment C)

**SEATTLE CHILDREN'S HOSPITAL RESEARCH INSTITUTE**  
Seattle, Washington

**OPERATING POLICIES / PROCEDURES**

**RIA-755: Request to Relocate/Transfer Equipment Item Form (Attachment A)**

|                          |             |           |           |
|--------------------------|-------------|-----------|-----------|
| <b>Requestor Details</b> |             |           |           |
| Requestor Badge:*        |             |           |           |
| Requestor Name:*         |             |           |           |
| Requestor's Phone #:*    |             |           |           |
| Requestor Email:*        |             |           |           |
| <b>Equipment</b>         |             |           |           |
| Equipment Type:          |             |           |           |
| RI Number:               |             |           |           |
| Asset Number:            |             |           |           |
| Comments;                |             |           |           |
| Relocation Request       | <b>FROM</b> |           | <b>TO</b> |
| Building                 |             | Building  |           |
| Floor                    |             | Floor     |           |
| Room/Area                |             | Room/Area |           |

**Request Description**

Urgency:\*  Immediate;  24 Hours;  1 Week;  1 Month;  Non-Urgent

Details [Describe Need. Include requirements for Vendor-performed services, Services (electrical, gas, similar), and other considerations (e.g., shielding, vibration, or similar)]: \*

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**Charge Direction**

| Accounting Unit | Account Code | Activity | Account Category | Est. Amount |
|-----------------|--------------|----------|------------------|-------------|
|-----------------|--------------|----------|------------------|-------------|

Cost Approval Signature: \_\_\_\_\_

**Vendor Performed Services:**

Anticipated performance Date:

**Submit Completed Form to Jeff Lonien, Research Building & Engineering.**

\* indicates a required field

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Seattle, Washington

OPERATING POLICIES / PROCEDURES

RIA-755: Request to Add Asset to Equipment Records Form (Attachment B)

|                          |  |
|--------------------------|--|
| <b>Requestor Details</b> |  |
| Requestor Badge:*        |  |
| Requestor Name:*         |  |
| Requestor's Phone #:*    |  |
| Requestor Email:*        |  |
|                          |  |
| <b>Equipment</b>         |  |
| Equipment Type:*         |  |
| Manufacture: *           |  |
| Model: *                 |  |
| Asset Number: *          |  |
| Serial Number: *         |  |
| Owner: *                 |  |
| Building: *              |  |
| Floor: *                 |  |
| Room/area: *             |  |
| Superuser:               |  |
|                          |  |

Submit Completed Form to Sara Smith, Research Operations

\* indicates a required field

\*\* Provide as much information as available

**SEATTLE CHILDREN'S HOSPITAL RESEARCH INSTITUTE**  
Seattle, Washington

**OPERATING POLICIES / PROCEDURES**

**RIA-755: Request to Delete Non-Locatable Property Due to Theft or Loss form  
(Attachment C)**

|  |  |
|--|--|
| <b>Requestor Details</b>                 |  |
| Requestor Badge:*                        |  |
| Requestor Name:*                         |  |
| Requestor's Phone #:*                    |  |
| Requestor Email:*                        |  |
| <b>Equipment</b>                         |  |
| Equipment Type:                          |  |
| RI Number:                               |  |
| Asset Number:                            |  |
| Owner:                                   |  |
| Last Known Location                      |  |
| Building:                                |  |
| Floor:                                   |  |
| Room/area:                               |  |
|  |  |
| Loss type                                | Details  |
| <input type="checkbox"/> Failure         | Describe nature of failure: *                            |
| <input type="checkbox"/> Not Locatable   | Describe efforts to locate: *                            |
| <input type="checkbox"/> Suspected Theft | Describe suspected theft and efforts to recover item(s): |
|  |  |

**Submit Completed Form to Sara Smith, Research Operations.**

\* indicates a required field

|                            |                                |
|----------------------------|--------------------------------|
| Research Operations Review |                                |
| Followup indicated:        |                                |
| Writeoff Approval          |                                |
|                            | Sign                      Date |