

ALBERT EINSTEIN COLLEGE OF MEDICINE
OF YESHIVA UNIVERSITY

EQUIPMENT POLICIES AND PROCEDURES MANUAL

Instructions for using this manual:

1. Click on item 1.0 – 4.0 in the Table of Contents to go directly to the topic indicated.
 2. Click on "Table of Contents" link on the top right corner of any page to return to the Table of Contents.
 3. Click on the small arrows on top and bottom of the page to jump from page to page.
 4. You may click on any item in the appendix section to go directly to the indicated page. The forms in the appendix can be filled out directly on the website and then printed.
- Note: You must click on the "Hand" icon in the Adobe Acrobat tool bar in order to fill in the form.

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SECTION 1.0 GENERAL

1.1 Purpose

The purpose of this manual is to memorialize policies and procedures for the management of equipment owned by or in the possession of the Albert Einstein College of Medicine of Yeshiva University (College). Management of equipment for purposes of this manual encompasses, but is not limited to the procurement, custodianship, usage, maintenance, recording, periodic physical verification, transfer and disposal processes. The policies and procedures contained in this manual have been established in consonance with principles of good internal control and applicable federal regulations.

1.2 Applicability

The policies and procedures contained in this manual apply to all equipment acquired by the College whether through procurement (regardless of funding source), transfer or loan from another institution, donation, or fabrication. For purposes of this manual, equipment is defined as an article of nonexpendable, tangible, personal property for use in the College's administrative, academic, clinical, or research operations with an acquisition cost of \$3,000 or more and an estimated useful life greater than one year.

1.3 Interpretation

Assistance in the day-to-day application of this manual may be obtained from the respective offices responsible for the functions contained herein (e.g., equipment changes - Inventory Office). To facilitate the assistance process, a listing of contact personnel has been included in the Appendix Section of this Manual as Exhibit A-1. Final authority for the interpretation and administration of the policies and procedures contained in this Manual lies with the College's Director of Finance.

SECTION 2.0 CUSTODIANSHIP

2.1 Title

The College has title to all equipment purchased with the College's funds. Title to equipment purchased with grant and contract funds is vested in accordance with the terms of the specific funding agreement under which the equipment was acquired or by the policy of the funding agency. The College is ultimately accountable for all equipment that it acquires regardless of funding source.

2.2 Custodial Responsibilities

While the College is ultimately accountable for all equipment for which it has title or is holding in custody for others (e.g., funding agency), operational responsibility for the day-to-day management of equipment is delegated to the departmental chairmen, administrators, directors, department heads, and principal investigators.

These operational responsibilities include, but are not limited to:

- General Control: Exercise of due diligence in day-to-day operations to ensure that physical custody of equipment is maintained (i.e., unauthorized removal has not occurred) and equipment has not been damaged.
- Physical Security: Equipment must be adequately safeguarded against unauthorized removal or use, and intentional or unintentional damage. In those instances where equipment is of high dollar value and readily portable, special security measures may be required. If a custodian is unsure of the adequacy of security measures required, they may contact the Security Department for guidance.
- Maintenance and Use: Equipment must be maintained in good operating condition in accordance with the manufacturer's recommendations. In addition, equipment must only be used for the purpose(s) for which it was acquired. This policy may be excepted in those instances where equipment is available for sharing to satisfy other scientific needs of the College. This exception is in compliance with federal regulations whose purpose is to avoid the purchase of unnecessary or duplicate equipment.

- Notification of Equipment Changes: The Equipment Property Manager must be notified of the following changes in equipment:
 - Additions to equipment resulting from donations, fabrication, and transfers from other institutions;
 - Transfers to another on-campus location including storage;
 - Transfers to an off-campus location;
 - Change in usage;
 - Damage to equipment which affects its use;
 - Sale, trade-in, or otherwise disposed of;
 - Replacement by manufacturer;
 - Theft;
 - Equipment tag has fallen off; and
 - Change in custodian (e.g., principal investigator).

Prescribed procedures for notifying the Equipment Property Manager of the above changes are presented in Sections 4.2 and 4.3. In addition, to facilitate compliance, these procedures have been summarized in the Table for Reporting Changes in Equipment included in the Appendix Section of this Manual as Exhibit A-2.

- Report Preparation: Assistance in the preparation of reports that require information about equipment for which custodial responsibility has been assigned.

SECTION 3.0 PROCUREMENT OF EQUIPMENT

3.1 General

Procurement of equipment is accomplished by the completion and approval of an official purchase requisition and purchase order utilizing the College's Electronic Purchase Order System (System) in accordance with the policies and procedures contained in this section.

Only authorized personnel can complete and approve purchase requisitions and purchase orders. A file of all persons (and their confidential access passwords) that are authorized to prepare or approve purchase requisitions and purchase orders is maintained in the System.

3.2 Preparation of Purchase Requisition

The procurement of equipment is initiated through completion of an electronic purchase requisition by the requisitioning department.

A purchase requisition is prepared by logging-on to the System using a confidential password. The option to Create a Purchase Requisition is selected from the Main Menu of the System.

To prepare the purchase requisition, the requisitioner enters the required information (e.g., general ledger account number, principal investigator, description of item) into the appropriate fields appearing on the various purchase requisition screens which makeup the purchase requisition. Please note that an error message will appear if an invalid general ledger is entered, or if the general ledger number entered is for a funded project that has a zero or negative net free balance and a continuation of funding has not been approved.

When all the necessary information has been entered onto the purchase requisition, the requisitioner indicates that a requisition should be created and a requisition number is assigned by the System. The requisitioner then enters the name of the person authorized to approve the respective department's purchase requisitions (e.g., principal investigator, department head) into the appropriate field and the requisition is forwarded to the electronic mailbox of the authorized approver.

3.3 Approval of Purchase Requisition

3.3.1 Departmental Approval

The person authorized to approve purchase requisitions for the department will log-on to the System using their confidential password, access their electronic mailbox, and review the purchase requisitions in their mailbox.

The University inventory control system requires that all purchases of equipment items of \$3,000 or more have screening certification approved by a designated departmental administrator.

After approval at the departmental level, the purchase requisition is forwarded for Central Administration approval either to the Grant Accounting Office or the Director of Finance depending on the source of funding.

3.3.2 Central Administration Approval

For grant and contract funded equipment purchases, the requisition is electronically forwarded to the Grant Accounting Office for review. The Grant Accounting Office Supervisor accesses the purchase requisitions in her mailbox using her confidential password and performs the following procedures:

- The respective grant folder, which contains the approved grant application, is obtained from the Grant Accounting Office files;
- The equipment specified in the purchase requisition is compared to the equipment listed in the budget of the approved grant application. If the equipment is listed in the budget, the purchase requisition number is written next to the specific equipment item in the budget;
- The various screens which makeup the purchase requisition are then reviewed to verify that: (i) the general ledger and grant numbers are correct, (ii) the grant has a net free balance to cover the purchase of the equipment, (iii) the ship to address is an Institutional address, and (iv) the requisition has the proper departmental approval; and
- The Equipment Screening Certification is also reviewed to determine that the requisitioning department has conducted a search of the department's equipment inventory and has determined that equipment similar to the equipment specified in the purchase requisition is not available. For equipment items budgeted at \$5,000 or greater, the purchase requisition must be forwarded to the Inventory Office for

College-wide inventory screening before approval and forwarding to the Purchasing Department.

Any exceptions disclosed by the performance of the above procedures must be resolved before the Grant Accounting Office can approve the purchase requisition and forward it to the Purchasing Department.

In those instances where equipment is required and budgeted equipment funds are not available (and screening procedures indicate that the equipment is not in inventory and available for use), the principal investigator may send a memorandum to the Dean of the College indicating the reasons why the equipment is required and requesting a reallocation of a portion of the approved budget in order to purchase the equipment. If appropriate, an NIH Internal Approval Form - NIH Policy #19 (Appendix Section - Exhibit A-3) will be approved by the Dean of the College and the Associate Dean for Business Affairs permitting the budget reallocation and purchase of the equipment.

For College funded equipment purchases, the requisition is forwarded to the Director of Finance who accesses the requisitions in his mailbox using his confidential password. The Director of Finance reviews the purchase requisitions for criteria similar to those detailed above for grant and contract funded equipment purchases. Any exceptions disclosed by the performance of these review procedures must be resolved before the Director of Finance can approve the purchase requisition and forward it to the Purchasing Department.

3.4 Preparation of Purchase Order

Approved purchase requisitions are electronically forwarded to Purchasing Department personnel as noted below:

Scientific Equipment

- Contracts Administrator - Equipment with a budgeted cost of less than \$5,000.
- Assistant Director of Purchasing - Equipment with a budgeted cost of \$5,000 to \$50,000.
- Director of Purchasing - Equipment with a budgeted cost greater than \$50,000.

Computer Equipment

Contracts Administrator - Computer Equipment

Engineering Equipment

Purchasing Agent - Engineering Equipment

The above personnel access the purchase requisitions in their mailbox using their confidential password. They review the purchase requisition to ensure that it has been properly approved and prescribed equipment screening procedures have been performed.

An equipment vendor is selected in accordance with the following competitive bidding guidelines:

Equipment With a Budgeted Cost of Less Than \$5,000

Competitive bids are not required. However, equipment purchased using funds provided by N.Y.C. agencies requires competitive bidding at \$1,500.00. The vendor is selected from a list of approved vendors. A vendor may also be selected based upon the recommendation of the requisitioning department if the vendor meets Purchasing Department vendor approval criteria. In certain cases, if best purchasing practices warrant it, a Competitive Bid may be performed although not required.

Equipment With a Budgeted Cost of \$5,000 - \$15,000

The buyer solicits verbal bids from at least three qualified vendors. These bids are documented in the Notes Screen of the purchase order. The buyer selects the vendor who can supply the equipment at the lowest price. In those instances where there is a valid reason why the vendor with the lowest bid was not selected (e.g., vendor cannot meet the required delivery date), the reason(s) are documented in the Notes Screen of the purchase order.

Equipment With a Budgeted Cost Greater Than \$15,000

The buyer solicits written bids from at least three qualified vendors by sending a Request for Quotation (RFQ) or Request for Proposal (RFP). These bids are referenced in the Notes Screen of the purchase order and are attached to the hardcopy of the purchase order that is filed. The buyer selects the vendor who can supply the equipment at the lowest price. In those instances where there is a valid reason why the vendor with the lowest bid was not selected, the reason(s) are documented in the Notes Screen of the purchase order.

After the equipment vendor is selected, a purchase order is prepared by logging-on to the System using an assigned confidential password, entering the necessary information, and indicating that a purchase order should be created.

The creator of the purchase order then enters the name of the person authorized to approve the purchase order (as indicated below) into the appropriate field and the requisition is forwarded to the electronic mailbox of the authorized approver.

Preparer

Contracts Administrator - Computer Equipment
Purchasing Agent - Engineering Equipment
Assistant Director of Purchasing
Director of Purchasing

Approver

Assistant Director of Purchasing
Assistant Director of Purchasing
Director of Purchasing
Assistant Director of Purchasing

3.5 Approval of Purchase Order

The person authorized to approve the purchase order will log-on to the System using their confidential password, access their electronic mailbox, and review the purchase orders in their mailbox.

After approval by the Assistant Director of Purchasing, the purchase order is electronically forwarded to the Director of Purchasing for final review and approval. A hard copy of the purchase order is then printed and sent to the vendor for fulfillment.

3.6 Receipt of Equipment

Upon receipt of the equipment, the principal investigator or other designated custodian is responsible to ensure that the equipment received is:

- The equipment that was requested in the purchase requisition; verifying in particular any technical or other specifications required for its intended use;
- Complete and not missing any integral parts or necessary accessories;
- Undamaged.

If there is any problem with the equipment, the custodian should immediately complete a Complaint and Credit Request Form (Appendix Section - Exhibit A-7) and send it to the Purchasing Department buyer who ordered the equipment as well as the other recipients indicated on the form (e.g., Accounts Payable Department). The buyer will then contact the vendor to resolve any reported problems and obtain a Return Materials Authorization (RMA) from the vendor. The vendor is not paid until all problems with the equipment are satisfactorily resolved.

3.7 Invoice Approval

Vendors are instructed to send all invoices to the College's Accounts Payable Department. Upon receipt, invoices are time and date stamped and pertinent invoice information (e.g., invoice #) is entered into the Accounts Payable Invoice Referral Application. The Application assigns a control number to the invoice and tracks it for approval. An invoice approval sticker is also generated by the Application, which indicates the name of the authorized signatory as well as other pertinent information and provides a space for signing. The approval sticker is placed on the invoice and the invoice is sent to the respective department for approval. Any invoice for equipment with an acquisition cost of \$50,000 or more must be approved by the principal investigator; other signatures will not be accepted.

If the equipment has been received as ordered, the authorized signatory should immediately sign the approval sticker and return the invoice to the Accounts Payable Department for further processing. A quick response will enable the College to take advantage of discounts based upon payment lag time. An Outstanding Invoice Referral Report is routinely generated, which lists invoices that have not been returned. The Report is reviewed by the General Accounting Manager, who initiates follow-up efforts where required.

SECTION 4.0 MANAGEMENT OF EQUIPMENT INVENTORY

4.1 General

The College is mandated by agreement with the Department of Health and Human Services to inventory and monitor all equipment costing \$3,000 or more. The Inventory Office maintains a detailed equipment database, which includes among other information: description of each item of equipment, location, purchase date and price, and source of funding. It is the responsibility of equipment custodial personnel to ensure that all changes in location or status of equipment are performed in accordance with prescribed policies and procedures as detailed in Section 4.3 below.

4.2 Acquisitions

The Inventory Office is responsible for entering equipment acquisitions into the College's "Insite Inventory Management System" (Insite). Equipment is primarily acquired through procurement. In addition, equipment may be acquired through donation, in-house fabrication, and transfer (e.g., new research appointees transfer in their equipment). The procedures for entering equipment acquisitions into Insite are presented below. The equipment manager will tag all equipment items and if not accessible; the equipment manager will schedule a follow up visit at such time in that the equipment is available and accessible.

4.2.1 Procurement

Each month, the Management Information Services (MIS) Department will produce GEN - 59 Reports for:

- (i) Equipment Purchases \$3,000 & Over - Object Code 331
- (ii) Equipment Purchases \$300 - \$2,999 - Object Code 330

These reports indicate equipment purchases, which have been invoiced and processed for payment since the prior month's report.

Equipment purchased with both University and non-University funds (e.g., federally sponsored research) is entered into Insite through the performance of the following procedures by the Equipment Property Manager:

- Review the GEN - 59 Report for Equipment Purchases \$300 - \$2,999 - Object Code 330 to ensure that the Report does not include any equipment with a unit cost of \$3,000 or more. Any equipment items with a unit cost of \$3,000 or more should be reclassified to Equipment Purchases \$3,000 or more - Object Code 331.

- Access the System using a confidential password and request the Invoiced Inventory Sheets (IIS). An IIS is produced for each piece of equipment reported in the GEN 59 Report for Equipment Purchases \$3,000 & Over - Object Code 331. Obtain the supporting invoice for each equipment purchase from Accounts Payable Department files. Enter the following information obtained from the invoice on the respective Invoiced Inventory Sheet: Model #, Serial #, and Manufacturer. Also record any trade-in value recorded on the Purchase Order.
- Separate the IIS's by building location to facilitate the tagging of equipment. Locate and tag the equipment using the College's sequentially numbered inventory tags. Note the tag # assigned to each piece of equipment in the space provided on the respective IIS. When tagging equipment, note any discrepancies (e.g., defective equipment that was returned, non-equipment items) and make an appropriate adjustment to the equipment inventory records.
- Reconcile the GEN 59 for Equipment Purchases \$3,000 & Over - Object Code 331 to the IIS's.
- After the tagging and reconciliation processes have been completed, enter the equipment purchases into Insite from the IIS's using batch control totals on trade-in amount and cost.
- File all supporting documentation.

4.2.2 Donation

Donated equipment with a fair market value of \$3,000 or more at the time of donation must be recorded in Insite. The custodian of the donated equipment should send a memo containing all pertinent information to the Equipment Property Manager. The Equipment Property Manager will tag the equipment and enter it into Insite.

4.2.3 In-House Fabrication

Equipment that has been fabricated in-house and has a fair market value of \$3,000 or more at the time of fabrication must be recorded in Insite. The custodian of the fabricated equipment should send a memo containing all pertinent information to the Equipment Property Manager. The Equipment Property Manager will tag the equipment and enter it into Insite.

4.2.4 Transfer-In

Equipment with a fair market value of \$3,000 or more that has been transferred to the College by a new research appointee or others must be recorded in Insite. The custodian of the transferred equipment should send a memo containing all pertinent information to the Equipment Property Manager. The Equipment Property Manager will tag the

equipment and enter it into Insite.

4.3 Transfers-Out, Storage, Loans, Sales, and Disposals of Equipment

4.3.1 General

All transfers, storage, loans, sales, and disposals of equipment must be approved and reported to the Equipment Property Manager in accordance with the policies and procedures presented below. Supporting Services will not transfer or permit equipment to leave the College's premises unless these policies and procedures are complied with. To facilitate compliance, they have been summarized in the Table for Reporting Changes in Equipment included in the Appendix Section of this Manual as Exhibit A-2.

4.3.2 Transfers-Out

All transfers of equipment must be reported to the Equipment Property Manager and the required approvals obtained prior to transfer. In order to effect a transfer, a Request for Transfer of Equipment - Form EI 1 (Appendix Section - Exhibit A 4) must be initiated by the principal investigator or other custodian indicating the equipment to be transferred and the person to whom the equipment is to be transferred to. The transfer form must be reviewed and approved as indicated in the Approval Section. The last approver should return the completed transfer form to the Equipment Property Manager for recording in Insite.

If the equipment is to be transferred off-campus, a memo explaining the reason for the transfer must also be prepared and attached to the transfer form. A photocopy of the transfer form should be made by the principal investigator and included with the equipment being transferred. An authorized representative of the receiving institution should complete the Receipt for Transfer of Equipment Listed Section of the transfer form and send it to the College's Equipment Property Manager to evidence receipt of the transferred equipment.

In addition, an Authorization for Removal of Property from College Premises Form (Appendix Section - Exhibit A-6) must be completed by the authorized departmental supervisor. This Authorization Form together with a copy of the approved Request for Transfer of Equipment - Form EI 1 and a valid College ID must be presented to security personnel in order to permit removal of the equipment from College premises.

4.3.3 Placement in Storage

All placement of equipment in storage must be reported to the Equipment Property Manager and the required approvals obtained prior to transfer. In order to move equipment no longer required to a storage area designated by Supporting Services, a Request for Storage or Disposal of Equipment - Form EI 2 (Appendix Section -Exhibit A-5) must be initiated by the principal investigator or other custodian indicating the equipment to be stored and the reason for storage. The transfer form must be reviewed and approved as indicated in the Authorization and Approval Sections. The last approver should return the completed storage form to the Equipment Property Manager for recording in Insite.

4.3.4 Loans of Equipment

Equipment that is loaned to employees for work-related use at home (e.g., microscope) must be logged-out by the custodial department. The department head/administrator is responsible for maintaining records on all loaned equipment. The records must show who borrowed the equipment, which equipment was borrowed, the date it was borrowed, and the expected date of return.

All loans of equipment to employees in excess of 30 days must be reported to the Equipment Property Manager and the required approvals obtained prior to transfer. The College retains the right to request justification for such loans.

In order to effect an equipment loan in excess of 30 days, a Request for Transfer of Equipment - Form EI 1 (Appendix Section - Exhibit A-4) must be initiated by the principal investigator or other custodian indicating the equipment to be loaned and the person to whom the equipment is to be loaned. The transfer form must be reviewed and approved as indicated in the Approval Section. The last approver should return the completed transfer form to the Equipment Property Manager for recording in Insite.

In unusual circumstances, a piece of equipment may be loaned to a collaborating or affiliated institution. Authorization must be requested and received from the Associate Deans for Scientific and Business Affairs before any commitments are made. If the loan is approved, a Request for Transfer of Equipment - Form EI 1 should be completed as noted above.

In addition, an Authorization for Removal of Property from College Premises Form (Appendix Section - Exhibit A-6) must be completed by the authorized departmental supervisor. This Authorization Form together with a copy of the approved Request for Transfer of Equipment - Form EI 1 and a valid College ID must be presented to security personnel in order to permit removal of the equipment from College premises.

4.3.5 Sales of Equipment

The Offices of the Associate Dean for Scientific Affairs and Associate Dean for Business Affairs in consultation with the custodial department will negotiate all sales of equipment on behalf of the College. Departments and/or individuals are not authorized to sell equipment owned by the College or held in trust in connection with a grant or contract, and under no circumstances should they do so.

In order to effect a sale of equipment, a Request for Transfer of Equipment - Form EI 1 (Appendix Section - Exhibit A-4) must be initiated by the principal investigator or other custodian and sent to the Equipment Property Manager. The Equipment Property Manager will complete the required information for the equipment being sold, review, and approve the form. The form will then be forwarded to the Offices of the Associate Dean for Scientific Affairs and Associate Dean for Business Affairs for review, approval, and negotiation of the sale if approved. The last approver should return the completed form to the Equipment Property Manager for review and recording.

If the sale requires removal of the equipment from College premises (e.g., sale to another institution), an Authorization for Removal of Property from College Premises Form (Appendix Section - Exhibit A-6) must be completed by the authorized departmental supervisor. This Authorization Form together with a copy of the approved Request for Transfer of Equipment - Form EI 1 and a valid College ID must be presented to security personnel in order to permit removal of the equipment from College premises.

4.3.6 Disposal of Equipment - Scrap

All scrapping of equipment must be reported to the Equipment Property Manager and the required approvals obtained prior to disposal. In order to scrap equipment, a Request for Storage or Disposal of Equipment - Form EI 2 (Appendix Section - Exhibit A-5) must be initiated by the principal investigator or other custodian indicating the equipment to be scrapped and the reason for disposal. The transfer form must be reviewed and approved as indicated in the Authorization and Approval Sections. The last approver should return the completed form to the Equipment Property Manager for review and recording. After the required approvals have been obtained, the department administrator will arrange for the disposal of the equipment by sending a work order to Supporting Services.

4.4 Subcontractors

In those instances where Government property is in the custody of a subcontractor of the College, it is the responsibility of the Inventory Office to ensure that the equipment property system of the subcontractor meets the minimum requirements of Federal Acquisition Regulations (FAR) Part 45.5 and other applicable federal regulations.

The subcontractor should be informed that as custodian of such equipment it is primarily responsible for, among other obligations, care and maintenance, use of the equipment in accordance with the terms under which it was acquired, and compliance with any reporting requirements.

In addition, the Inventory Office will require the subcontractor to prepare equipment inventory reports and perform physical inventories of Government equipment in its custody as subcontractor of the College, which will enable the College to fulfill its regulatory responsibilities under FAR Part 45.5 and other applicable federal regulations.

4.5 Physical Inventories

A physical inventory of equipment is performed every two years under the direction of the Inventory Office. For purposes of the physical inventory, equipment is classified into three groups based upon cost, and physically verified as follows:

Group	Physical Verification
(i) Equipment with a cost of \$5,000 or more	100%
(ii) Equipment with a cost of \$3,000 - \$4,999	Selected Sample

Equipment Inventory Certification Sheets (Certification Sheets) are requested from the MIS Department by the Equipment Property Manager. These sheets are generated from the Insite equipment database and indicate pertinent information for each item of equipment (e.g., description, department, physical location, tag #). Two copies of each Certification Sheet are requested. One of the copies is sent to the respective departmental administrators that have custodial responsibility for the equipment. The other copy is maintained by the Inventory Office as a control copy to ensure that all Certification Sheets are returned.

The departmental administrators are required to physically account for all equipment with a cost of \$5,000 or more as well as equipment with a cost less than \$5,000 selected by the Inventory Office for physical verification purposes. The results of the physical inventory are noted on each Certification Sheet (e.g., located/not located, in use/not in use). A thorough search is conducted for any equipment, which is not readily located. If any piece of equipment can not be located or is not in use, an explanation must be written on the Certification Sheet. The completed Certification Sheets are returned to the Inventory Office.

After the Equipment Property Manager accounts for all the Certification Sheets, he selects a sample of Certification Sheets for testing and physically verifies the results reported on the selected sheets.

The Equipment Property Manager then summarizes the results reported on all the Certification Sheets in an Equipment Inventory Audit Report. The Report is forwarded to the Director of Finance for review. After review, the Report is sent back to the Equipment Property Manager and the Insite equipment database is adjusted for the results of the physical inventory.

All documentation relating to the physical inventory is then filed in the Inventory Office.

In addition to the biennial physical inventory detailed above, a physical inventory of equipment may be required at the termination or completion of a funding agreement, or on an ad hoc basis as warranted.

[Exhibit A-1](#)

Contact Personnel

<u>Office</u>	<u>Name</u>	<u>Title</u>	<u>Ext.</u>
Associate Dean for Business Affairs	Emanuel Genn	Associate Dean for Business Affairs	3182
Associate Dean for Business Affairs	Richard Zaiff	Assistant to the Associate Dean	2851
Academic Affairs	Dr. Edward Burns	Associate Dean for Academic Affairs	3357
Assistant Dean for Scientific Operations	John Harb	Assistant Dean for Scientific Operations	3357
Equipment Inventory	Joseph D'Errico	Equipment Property Manager	2573
Finance	Jerome Waldman	Director of Finance	2206
Finance	Jerome Nadler	Assistant to the Director	2110
Grant Accounting	Elliot Feder	Assistant Director of Finance	2205
Grant Accounting	Denise Giocondo	Supervisor, Grant Accounting	2201
Purchasing	Jack Zencheck	Director of Purchasing	8889
Purchasing	Neal Alexander	Assistant Director of Purchasing	8878
Security	Andre Faup	Chief of Security	2180

Table Of Prescribed Procedures
For Reporting Changes In Equipment

Change In Status	Procedure/Action
Equipment is to be discarded	Complete Request For Storage Or Disposal Of Equipment – Form EI 2 and obtain required approval prior to disposal of equipment
Equipment is to be cannibalized for parts	Complete Request For Storage Or Disposal Of Equipment – Form EI 2 and obtain required approval prior to cannibalization of equipment
Equipment is to be placed in storage	Complete Request For Storage Or Disposal Of Equipment – Form EI 2 and obtain required approval prior to placing equipment in storage
Equipment is to be transferred to an off-campus location	Complete Request For Transfer Of Equipment – Form EI 1 and obtain required approval prior to transfer of equipment
Equipment is to be permanently transferred to another on-campus location	Complete Request For Transfer Of Equipment – Form EI 1 and obtain required approval prior to transfer of equipment
Research person to whom equipment has been assigned is scheduled to leave and equipment is to remain at the College	Reassign equipment Memo to Equipment Property Manager containing pertinent information
Equipment is replaced by manufacturer	Memo to Equipment Property Manager containing pertinent information
Equipment is recalled or sent out for repair and is returned without AECOM Inventory Tag	“
AECOM Inventory Tag has fallen off	“
New Research person is appointed and transfers equipment to College with a value of \$3,000 or more	“
Equipment is donated to College with a value of \$3,000 or more	“
Equipment is fabricated by in-house assembly with a value of \$3,000 or more	“
Equipment is stolen	Memo to Equipment Property Manager containing pertinent information AND inform Security Department

NIH INTERNAL APPROVAL
NIH POLICY # 19

EOPP

Date:

Grant No:

Principal Investigator:

Administrative Approval:

Emanuel Genn, Associate Dean for Business Affairs

Scientific Approval:

Dominick P. Purpura, M.D., Dean

TO: Principal Investigator

Upon receipt of administrative and scientific approval, you may initiate the purchase requisition. The original of this approval must accompany the paperwork.

Item(s) for which rebudgeting is being requested:

From: “ = \$

to

“ = \$

See attached letter.

ALBERT EINSTEIN COLLEGE OF MEDICINE OF YESHIVA UNIVERSITY

1300 MORRIS PARK AVENUE

BRONX, NY 10461

REQUEST FOR TRANSFER OF EQUIPMENT

TRANSFER INFORMATION

To Be Completed By Preparer

PREPARER: *Equipment can only be transferred after receipt of a copy of this form (from the Property Manager) with approval signatures (below).*

NAME: _____
PRINCIPAL INVESTIGATOR _____ DEPARTMENT _____

LOCATION OF EQUIPMENT: BUILDING _____ ROOM _____ INVENTORY (TAG) # _____

DESCRIPTION OF EQUIPMENT: (Complete here or check box below and attach documents.)

See attached for more detailed description

ANTICIPATED DATE OF TRANSFER: _____

EQUIPMENT TO BE TRANSFERRED TO:

PRINCIPAL INVESTIGATOR _____ DEPARTMENT _____

INSTITUTION _____

ADDRESS _____

APPROVAL *Sign and date where indicated. Last approver should return to Property Manager.*

INDICATION OF REVIEW AND APPROVAL:

1. _____ DATE _____ 3. _____ DATE _____
DEPARTMENT CHAIRMAN ASSOC. DEAN FOR SCIENTIFIC AFFAIRS

2. _____ DATE _____ 4. _____ DATE _____
PROPERTY MANAGER ASSOC. DEAN FOR BUSINESS AFFAIRS

RECEIPT FOR TRANSFER OF EQUIPMENT LISTED *To Be Completed By Receiving Institution*

RECEIVER: *Complete bottom portion of this form, including signature, and return to AECOM, Grant Accounting Property Manager, 1300 Morris Park Avenue, Bronx, NY 10461.*

EQUIPMENT TRANSFERRED TO:

INSTITUTION _____ PRINCIPAL INVESTIGATOR _____

ACKNOWLEDGEMENT OF RECEIPT OF EQUIPMENT

Signature indicates that the receiving institution accepts title and assumes accountability for the transferred equipment.

SIGNATURE _____ DATE _____ TITLE _____

ALBERT EINSTEIN COLLEGE OF MEDICINE OF YESHIVA UNIVERSITY

1300 MORRIS PARK AVENUE, BRONX NY 10461

REQUEST FOR STORAGE OR DISPOSAL OF EQUIPMENT

*Equipment can only be stored, scrapped or disposed after completion of this form.
Use Equipment Transfer Form (FORM EI 1) for equipment to be permanently transferred to other institutions or for temporary off-site use.*

PREPARER: Complete Parts A, B & C and send to Property Manager (Belfer 1108).

PROPERTY MANAGER: Review and log, obtain Appraisal (Part D), sign Part E, oversee disposition.

APPROVERS: Sign Part E.

NAME:

PRINCIPAL INVESTIGATOR _____

DEPARTMENT _____

LOCATION OF EQUIPMENT:

BUILDING _____

ROOM _____

INVENTORY (TAG) # _____

PART A - DESCRIPTION OF EQUIPMENT

To Be Completed By Preparer

YEAR PURCHASED

ESTIMATED SALVAGE VALUE (WORTH)

EQ. NAME _____

MODEL: _____

SERIAL # _____

DESCRIPTION: _____

See attached for more detailed description (if necessary)

Anticipated date of disposal _____

PART B - REASON FOR DISPOSAL

Preparer: Check box 1 or 2 and state reason(s).

1.

STORE - Equipment still useable and in working order. Make available for AECOM Community.

Replaced by a newer unit.

No longer necessary for ongoing research in department.

Other (explain) _____

2.

DISPOSE - Not in useable or repairable condition.

Not in working condition and too costly to repair.

Not repairable.

Other (explain) _____

PART C - DEPARTMENTAL SIGNATURE AUTHORIZATIONS

PRINCIPAL INVESTIGATOR

DEPARTMENTAL CHAIRMAN

PART D - APPRAISAL OF EQUIPMENT

To Be Completed By Business Affairs

ESTIMATED
VALUE

PRINT NAME AND TITLE

SIGNATURE

\$ _____

PART E - APPROVAL

Sign and date where indicated. Last approver return to Property Manager

1.

PROPERTY MANAGER DATE

2.

ASSOC. DEAN FOR SCIENTIFIC AFFAIRS DATE

3.

ASSOC. DEAN FOR BUSINESS AFFAIRS DATE

ALBERT EINSTEIN COLLEGE OF MEDICINE
Of Yeshiva University

AUTHORIZATION FOR REMOVAL OF PROPERTY
FROM COLLEGE PREMISES

This will authorize _____ of _____
Name of Individual Department

to remove _____
Description of Property

Serial # _____ and/or Inventory # _____

on _____ from the premises of the Albert Einstein College of Medicine.
Date

Authorized Departmental Supervisor
(Signature must be written)

Y E S H I V A U N I V E R S I T Y
PURCHASING OFFICE
1300 Morris Park Avenue, Bronx, New York 10461
COMPLAINT AND CREDIT REQUEST FORM

TO: (VENDOR'S NAME) _____

(VENDOR'S ADDRESS) _____

FROM: _____ DEPARTMENT: _____

SCHOOL: _____

DEPT. REQUISITION NO. _____ UNIVERSITY P.O. NO. _____

GRANT OR BUDGET NO. _____ INVOICE NO. _____

Goods delivered against the above invoice and purchase order were received in unsatisfactory condition as follows:

DETAILED EXPLANATION BELOW

List Each Item(s) _____

Reason for return: _____

IT IS REQUESTED THAT: (Items checked off will determine A/P's appropriate action)

- 1. _____ N/C replacement of damaged or broken item(s) be made by vendor.
- 2. _____ Item(s) being returned to vendor to full credit.
- 3. _____ Item(s) does not correspond to invoice and/or Purchase Order: please issue N/C replacement.
- 4. _____ Missing item(s) be delivered.

TO BE RETURNED VIA: _____ VALUE: \$ _____

RETURN AUTHORIZATION NO. _____ NOT REQUIRED

DATE: _____ INVESTIGATOR: _____

For Receiving Department Use Only

RECEIVED IN RECEIVING: _____
(Initial) (Date)

SHIPPED VIA _____ SHIPPING DATE _____

SHIPPER'S CONTROL # _____

White/Vendor Copy
Pink/Account Payable

Green/Grant Acctg.
Goldenrod/Originator

Yellow/Dept.