

Academic Enterprise SOP for routine capital equipment approval requests

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 leaders review and approve requests directly in the Capital Planning tool. The Capital Request ID and approval is required for a Workday 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 academic enterprise capital planning requests for current fiscal year purchase only.

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 >\$5k
- Any freezer

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 <\$5k

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.

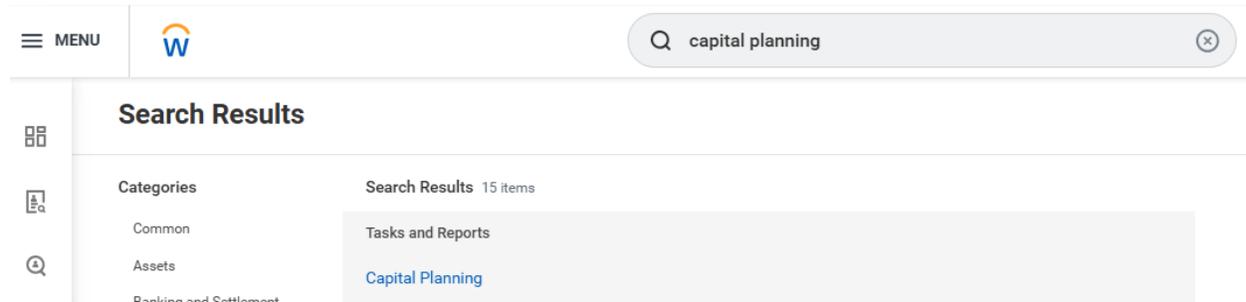
ACCESS TO CAPITAL PLANNING IN WORKDAY

If you do not have access to Capital Planning, you can request via Pegasus ticket:

- Navigate to <https://pegasus.vumc.org/ess/workday>
- Select FIN Capital Planning from the problem dropdown menu, then complete the rest of the form as indicated.

Once your access is confirmed, you can find Capital Planning in Workday:

- In the search bar, type “capital planning”
- From the search results, select the Capital Planning task
- You can also add Capital Planning as an app in your Menu



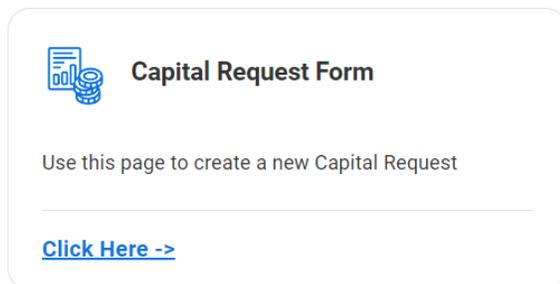
ACADEMIC ENTERPRISE APPROVALS

- Susan Meyn, Associate Vice President, Office of Research, reviews all academic enterprise requests, and approves Grant or Gift Funded projects
- Dr. Jennifer Pietenpol, Chief Scientific and Strategy Officer approves Institutionally funded capital requests
- Note: **All renovations** are approved by VUMC Space Planning. Contact Kirk Hunckler, Director, for assistance.

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.

Begin in the Capital Planning module, selecting the **Capital Request Form**:



Step 1: Contact Information

Primary Contact: The requestor’s name will auto-populate, however you may add any name by searching/selecting.

- Only the Primary Contact receives the system generated approval email from Workday, and is able to view/edit the request in the My Capital Requests section.

- 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.

Secondary Contact: Can be anyone involved in the capital planning or procurement process.

Recommendation: Make the AO or other administrative support person the Primary Contact.

Step 2: Capital Request Details

Capital Request Name: Enter the equipment name, for example “Cell Sorter” “DNA Sequencer”

- Do not merely list the PI name, or quotation number/vendor.

Capital Request Description: Include the following:

- Department (and division if applicable)
- Faculty/PI name
- Manufacturer, model number, and full instrument name
- Use the **Upload** button to provide the instrument quote.

Area: Select Academic Enterprise

Operating Entity: Select appropriate to Cost Center and worktag to be used for purchase.

- Grant funds, use **Academic Grants-VUAE Clinical Departments (OEAcad_GR)**
- Gift funds purchases, use **Academic Gifts-VUAE Clinical Departments (OEAcad_GF)**
- Department/Institutional funds, use **Academic Department Research and Administration-VUAE (OEAcad_RA)** or **Clinical Department Research and Administration-VUAE Clinical Departments (OEclin_RA)** as appropriate for the Cost Center.
- Core funds or contract funds, use **Academic Cores and Contracts-VUAE (OEAcad_CC)**
- Department Education funds, use **Academic Department Education-VUAE (OEAcad_Edu)**

If the purchase will be split between grant or gift and department/institutional funds, use **OEAcad_RA** or **OEclin_RA**

If the purchase will be split between grant and gift, select only one: **OEAcad_GR** or **OEAcad_GF**

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

Fiscal Year: Select **current fiscal 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.”

- Do not select Construction/Renovation; these must be submitted directly to **VUMC Space Planning**.

Equipment & Furniture Cost: Enter full cost including required accessories, installation and freight, to the nearest dollar. Include installation costs that may be associated.

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 – ALL FIELDS REQUIRED

For AE requests, the SBAR – Justification fields require the following:

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

Background: Briefly list and describe the project(s) that will be supported, highlighting any benefit to grant funded projects.

Assessment: Indicate CBO approval for the purchase.

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 the date for freezer approval.

If a core will house and manage the equipment:

- List name of core and core manager

Recommendation: Summarize commitments and/or 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”

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

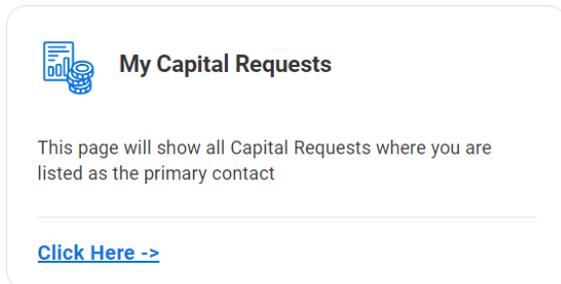
Operating Expense: Provide to nearest dollar, or leave blank if n/a or unknown.

Capital Request Form Summary

Review your entries. Select “Back” to page back and 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 will be contacted if form is not complete or correct.
- Gift and grant funded requests are approved several times a week.
- Department/Institutional funded requests are **approved on an every other week review cycle**. Approval could take up to 3 weeks depending upon when you submit your capital planning request.
- Once the request is approved, department personnel will use the approved Capital Request ID Number and linked Project ID to complete a purchase requisition in Workday.
- Contact Susan Meyn s.meyn@vumc.org for questions about capital requests and approvals.

Other training and instructions:

- Enroll in the **WDPL-201 Capital Planning** module in the Learning Exchange, and find quick reference guides here: <https://www.vumc.org/myworkday/grgs-capital-planning>

- Resources:
 - [WDPL-201-Captial Req Spend Categories.pdf](#)
 - [WDPL-201-Q10 Capital Requisitions-QRG.pdf](#)
 - [WDPL-201-Q6a PJID and CC Assignment-QRG.pdf](#)
 - 1/22/2025 Supply Chain Townhall [PowerPoint Presentation](#)

Project IDs

- Academic Grants-VUAE Clinical Departments (OEAcad_GR): Project ID – PJ00150
- No change to the PJ ID used for capital purchases funded by other academic OEs: Project ID- PJ00017