

**Department:**  
LDEO/OMO

**Effective Date:**  
09/27/2012

**Standard Operating  
Procedures:**  
Property and Equipment  
Management at the Lamont  
Campus and onboard *R/V  
Langseth*

## **Purpose**

The purpose of this procedure is to provide a standard of practice for the management, accounting and control of moveable equipment (also referred to in this manual as capital equipment, property, or capital assets) owned by Columbia University (the University or CU), under the custody of the University, or for which the University is accountable to the federal government and other sponsors at the Lamont-Doherty Earth Observatory (LDEO) campus and on the Research Vessel (R/V) *Marcus G. Langseth* (R/V *Langseth*).

This document identifies actions and procedures for the following aspects of property management:

- Receipt of Equipment
- Stewardship of Capital Equipment Tags (CUID Tags)
- Change of Equipment Status/Location
- Physical Security
- Insurance
- Lost or Damaged Equipment
- Equipment Disposal
- Export Controls

## **Process**

### Receipt of Equipment

Equipment is received when it is delivered to LDEO, to the R/V *Langseth*, or to another location, and LDEO personnel or an authorized LDEO agent takes possession of the equipment.

### Receipt of Equipment at Lamont

The Lamont campus has a central shipping/receiving (Traffic) department, where all purchases including capital equipment purchases are delivered directly to the loading dock on-campus.

- The Traffic Manager or designee notifies the owner of the shipment as recorded on the packing list of the delivery.
- Once the owner approves the delivery, the Traffic Manager verifies and signs for the shipment and arranges with the owner for pick-up or delivery of the items.

- The Shipping/Receiving department will notify the LDEO Asset Manager of receipt of any capital equipment or non-capital ship related equipment/parts/supplies.
- The LDEO Asset Manager will record all relevant information such as serial/model numbers, location, etc. at the Lamont Campus and communicate this to the University Capital Asset Accounting Office, so the master capital equipment inventory listing is updated.
- The LDEO Asset Manager will coordinate the identification and tagging of all capital/ship related equipment prior to onward shipment of the equipment to the Langseth.
- No less than twice a year, the University Capital Asset Accounting Office shall furnish an updated master capital equipment inventory listing for all tagged system assets to the LDEO Asset Manager.

#### Receipt of Equipment at R/V Langseth

- Equipment delivered to the ship shall be tagged by the Captain or designated Property Agent on the ship.
- The Property Agent shall inform the LDEO Asset Manager of the receipt of all shipments of capital equipment.
- The LDEO Asset Manager will ensure that all relevant information such as serial/model numbers, location, etc. for equipment on the ship shall be recorded on the master equipment inventory listing and communicated to the Capital Asset Accounting.

#### Receipt of Equipment at Other Off-Campus Locations

- Tagging University or government property drop-shipped to off-campus locations (e.g. Antarctica) is the responsibility of the LDEO Asset Manager.
- The Principal Investigator will confirm receipt of equipment at other off-campus locations with the LDEO Asset Manager.
- The LDEO Asset Manager will assign the numbered tag to the purchase order when the receipt of capital equipment is confirmed.
- Special arrangements will be made between the LDEO Asset Manager and the Principal Investigator to deliver and affix the tag to the capital equipment at the off-site location.

#### Stewardship of Capital Equipment Tags (CUID Tags)

- Columbia University (CUID Tags, aka Columbia University Identification Tags) Capital Equipment tag rolls have been assigned to the Lamont Campus and the R/V Langseth. The tags will be secured by the LDEO Asset Manager and the ship Captain.
- Once tagging of an asset (>\$5K) is completed, all captured information (serial numbers, model numbers, etc) will be sent to Capital Asset Management via LDEO Asset Manager.

#### Change of Equipment Status/Location

The department with custody of the equipment is responsible for notifying the LDEO Asset Manager whenever the status of equipment changes. The Equipment Inventory Adjustment Form will be used for this purpose.

Examples of equipment changes include:

- Sale/Trade-in
- Return for credit

- Stolen equipment
- Scrapped Equipment
- Lost equipment
- Equipment on loan
- Change of location
- Equipment transferred to another institution
- Equipment transferred to another department
- Equipment no longer needed by department and available to other users
- Shared use
- Home use requests

#### Physical Security

LDEO Campus has a 24 hour, 7-days a week security force which monitors not only the entry/egress point from the campus, but also employs regular patrols of the campus for security purposes. In addition to the presence of security officers, all storage/warehouse facilities employ locks; keys to each lock shall be possessed only by department heads and certain high-level officers at LDEO. Principal Investigators and Departmental Equipment Coordinators will take special precautionary security measures in the case of high value, portable equipment; these measures shall be planned and executed in coordination with the LDEO Security office.

Bi-annually, the University's Independent Inventory Management Firm shall conduct an audit of the Lamont Campus property for verification. At that time, any equipment found to be untagged shall be tagged and its identifying information recorded.

#### Insurance

The acquisition of insurance, including over-the-side insurance and transit insurance, is managed by the Asset Manager at 845-365-8437. The Asset Manager will coordinate these requests with the University's Risk Management office.

#### Lost or Damaged Equipment

Equipment lost or damaged shall be promptly reported to the Asset Manager. The Asset Manager will coordinate with the Security office to file any insurance claims and/or investigations. In the event of the loss of property LDEO Asset Manager will notify Capital Asset Accounting which will notify the appropriate sponsoring agency in writing if necessary.

#### Equipment Disposals

The removal, decommissioning or disposal of equipment requires prior approval of the LDEO Asset Manager and Columbia University Capital Asset Accounting. Approval is obtained by submitting an Equipment Inventory Adjustment form.

- The method of disposal is determined based on special conditions or restrictions noted by the sponsor.
- The LDEO Asset Manager will contact the University Capital Asset Accounting Office to ascertain if there are any such restrictions.
- Having addressed special restrictions, the department designee shall complete and submit equipment inventory adjustment form to the LDEO Asset Manager.

- The University Capital Asset Accounting Office will adjust the master inventory control list.

#### Sold or Traded Equipment

Prior to the sale or trade-in of any equipment, the disposal procedure must be followed.

#### Export Control

All new and existing equipment that is scheduled to leave the United States for scientific purposes will be reviewed by the LDEO Asset Manager to determine export controls (if needed). Equipment that requires an export license to leave the United States will be handled by the LDEO Asset Manager and Risk Management department. All licenses will be submitted through the Risk Management department.

New equipment quoted, purchased and/or arriving at the Lamont campus will be reviewed by the LDEO Asset Manager to determine export classifications. Once the export classification has been determined, a request by the Asset Manager will be made to Risk Management for an export license (if necessary) prior to the equipment leaving the Lamont campus.

The LDEO Asset Manager will affix a Columbia University Export Control sticker (green) on equipment leaving the United States with an export classification (ITAR, ECCN, EAR99). This will be determined on a case by case basis, whether or not export controls apply to the equipment and destination.

### **Roles and Responsibilities**

#### LDEO Asset Manager

- The primary person responsible for capital equipment management at the LDEO Campus and for the R/V Langseth, reporting to the Assistant Director of Finance and Administration of the LDEO Campus.
- Serves as the primary liaison to the CU Property Office and LDEO research departments for all capital equipment related processes.
- Responsible for ensuring compliance with government regulations for capital equipment management at the LDEO Campus and the R/V Langseth.
- Coordinates responses to audit inquiries concerning capital assets.
- Collaborates quarterly with the University's contracted Independent Inventory Management Firm (IIMF).
- Ensures equipment is tagged, recorded and communicated with the University Capital Asset Accounting (CAA) office at the time of receipt prior to deploying assets to the field or the R/V Langseth.
- Records all equipment additions, changes (location), and deletions on an excel spreadsheet and reports this information to the University's CAA.
- Identifies and tracks all government and University owned assets contained in the field or on the R/V Langseth, including equipment transiting between LDEO and the R/V Langseth.

- Responsible for administration of inventory management at all the LDEO Warehouses.
- Informs all campus constituencies of their obligations for proper use, care, maintenance, and safekeeping of all capital equipment under the control of their respective departments/divisions.
- Provides screening of surplus property prior to disposal to determine if reuse or salvage is an option.
- Provides guidance related to use and disposition of all inventoried equipment for which LDEO is responsible.
- Coordinates training for Departmental Equipment Coordinators and other key LDEO personnel on property handling and management annually or as required basis.
- Investigates and confirms export classifications for equipment traveling internationally for the LDEO site.

#### Lamont Central Shipping/Receiving

The Traffic Manager of the Traffic (shipping/receiving) department has the following responsibilities:

- Notifies Asset Manager of receipt of equipment.
- Ensures equipment is delivered to appropriate recipient.
- Inspects equipment prior to relocating shipping or disposal for Columbia University equipment ID tag.
- Receives and places equipment in the warehouse for storage, as designated.

#### Lamont Departmental Equipment Coordinators

The Associate Directors of LDEO divisions will designate a Departmental Equipment Coordinator (usually the Department/Division Administrator) for managing equipment. The coordinator has the following responsibilities:

- Provides the LDEO Asset Manager with location and backup documentation supporting P-Card and other capital equipment purchases.
- Manages the department's equipment inventory.
- Processes vendor invoices in the University accounts payable system (AP/CAR) to initiate payments to vendors.
- Assists with physical inventory, verifying the existence and condition of all moveable capital equipment.
- Notifies the LDEO Asset Manager prior to disposals, sales of surplus equipment, transfers in and transfers out and location changes throughout the year.
- Attends training as designated by the LDEO Asset Manager on an annual basis.

#### Office of Marine Operations (R/V *Marcus G. Langseth*)

The Ship's Master/Captain, as the senior officer onboard R/V *Langseth*, is responsible for observing and implementing University policy on the vessel. The Master/Captain may delegate some of these responsibilities to a crew member for implementation.

The responsibilities of the Master/Captain include:

- Designates departmental property agent(s) (e.g. Chief Science Officer, Chief Engineer, or Chief Mate).
- Coordinates responses to audit inquiries concerning ship assets.
- Collaborates with the University's Independent Inventory Management Firm.
- Ensures capital equipment shipped directly to vessel is tagged, recorded and communicated to OMO shore office and the LDEO Asset Manager at the time of receipt.
- Records all capital equipment additions, changes (location), deletions on an Equipment Inventory Adjustment form and reports this information to the OMO shore office and LDEO Asset Manager.
- Maintains copy of capital inventory for the ship.
- Reports any capital equipment that has been transferred off ship for storage, repair, or for shipping to OMO shore office and LDEO Asset Manager.
- Informs all ship constituencies of their obligations for proper use, maintenance, and safekeeping of all capital equipment under their control.
- Provides screening of surplus property prior to disposal to determine if recycling, reuse or salvage is an option or if hazardous waste disposal is required. Seeks guidance from LDEO Asset and Safety Supervisors as necessary.
- Implements guidance provided by LDEO Asset Manager related to use and disposition of all inventoried equipment for which OMO is responsible.
- Coordinates training for property agents and other key ship personnel on property handling and management annually or on an as required basis.

#### Ship's Agent or 3<sup>rd</sup> Party Designee functions

- Ensures delivery of specified items to the ship Master/Captain as requested at ports of call.
- Secures local warehousing and transportation as necessary to store or ship R/V Langseth equipment as requested.
- Ensure shipment of OMO property is insured as requested by OMO and in compliance with international regulations.

#### Independent Inventory Management Firm (IIMF)

The University contracts an independent inventory management firm (IIMF) to provide management oversight for the identification, tagging, recording and reporting of capital equipment. IIMF uses its proprietary asset management software to manage CU and LDEO's equipment. On the Lamont Campus, IIMF will conduct bi-annual audits of the property management and tagging systems as an independent, third-party verifier. IIMF will be responsible for conducting bi-annual physical inventory of equipment located at R/V Langseth (the "ship") beginning fiscal year 2011.

#### **Lamont /OMO/ R/V Langseth Property Contacts**

##### Lamont

Edie Miller, Assistant Director of Finance and Administration, 845-365-8804, [edie@admin.ldeo.columbia.edu](mailto:edie@admin.ldeo.columbia.edu)  
Denyse Brown, Asset Manager, 845-365-8437, [dbrown@admin.ldeo.columbia.edu](mailto:dbrown@admin.ldeo.columbia.edu)

Thomas Eberhard – Traffic Manager – 845-365-8865, [tom@admin.ldeo.columbia.edu](mailto:tom@admin.ldeo.columbia.edu)

Howard Matza - Manager Security & Safety – 845-365-8822, [hmatza@admin.ldeo.columbia.edu](mailto:hmatza@admin.ldeo.columbia.edu)

### OMO

Sean Higgins – Director, Office of Marine Operations – 845-365-8528, [sean@ldeo.columbia.edu](mailto:sean@ldeo.columbia.edu)

Megan Meyer – Coordinator of Tech/Purchasing Services – 845-365-8567, [mhm2113@columbia.edu](mailto:mhm2113@columbia.edu)

Steven Ackerson – Administrative Aide, Jr. Buyer – 845-365-8723, [Ackerson@ldeo.columbia.edu](mailto:Ackerson@ldeo.columbia.edu)

### R/V Langseth

Ship Master/Captain – [captain@ldeo.columbia.edu](mailto:captain@ldeo.columbia.edu)

Ship Agent – contracted by OMO

### **References**

*Columbia University Property Control Manual*

**FAR 52.245-1**, Government Property, Parts 35, 45, and 52

**OMB Circular A-21**: Cost Principles for Educational Institutions

**OMB Circular A-110**: Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (Relocated 2 CFR 215)

**OMB Circular A-133**: Audits of States, Local Governments, and Non-Profit Organizations

**2 CFR 215**, the Federal property management standards

In addition to the references mentioned above, users of this SOP should also consult the award terms and conditions regarding property and equipment as cited in any grant or contract award, as these frequently provide additional guidance and direction on the handling and management of equipment.

### **Forms**

Equipment Inventory Adjustment Form:

<http://finance.columbia.edu/forms/eia.pdf>

Property Loss/Damage Claim Reporting Form:

[http://finance.columbia.edu/treasury/risk\\_management/RiskMgmtPLDCReportFormasof020410.doc](http://finance.columbia.edu/treasury/risk_management/RiskMgmtPLDCReportFormasof020410.doc)

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In addition to submitting forms to the Columbia University offices designated on the forms, copies of reports should also be submitted to the LDEO Asset Manager.