

COM Bioinstrumentation & Core Research Support Services Guidelines

I. Definition/Criteria for Identification of Established Core Research Support Services

A. Departmental Core Service

Departmental Cores primarily serve members within one department. Priority for service is given to Departmental faculty members. The fee schedule is set by the Department with the approval of the Department Chair. The use of research space to support the service will be within the research space allocation of the Department. Departmental core services are not eligible for institutional support for equipment, space or interim support.

B. College Core Service

College Core Services will serve primarily faculty members within the College of Medicine (COM). At least 50% of the user activity must be from investigators distributed between-departments other than the sponsoring department. User activity can be a combination of number of principal investigators, amount of revenue from other departments, percentage of the revenue that covers operating costs, the grant support activity and scientific impact factors. The service will not be redundant to existing University core services. The priority for service will be for College of Medicine faculty. This is not offered as a University wide service and therefore in general will not be eligible for institutional support from the VPR for equipment or interim support. However, large unique non-redundant (non duplicative) equipment may require support from the VPR or the COM if a University wide benefit is apparent. The College Core Services will reside within the research space of the sponsoring department or center and the research space will be designated as COM research space. This will remove the core service space from the research space allocation within the sponsoring unit.

C. University Core Service

University Core Services will serve faculty members within any department or center within the University. Priority for service will be on a “first come, first served” basis and the fee schedule will be uniform. At least 25% of the user activity must be from investigators distributed between colleges other than the sponsoring college. User activity can be a combination of number of PIs, amount of revenue from other departments, percentage of the revenue that covers operating costs, the grant support activity and scientific impact factors. The service will not be redundant to existing University core services. Established core services will have well-defined services offered, established costs, a web-based interface for sample tracking and data management, and a user’s group. Established core services will charge fees sufficient to cover 50% or more of their operating costs, will have undergone competitive external review and have current grant support for service activities, including extramural funding for the service itself. Services must have an established impact in the form of grant support activity and/or manuscripts citing core support. The priority for service will be for University of Arizona faculty. The service is offered University wide and therefore will be eligible for institutional support from the VPR

for equipment and/or interim support. The University core research service will reside within the research space of the sponsoring department or center and the research space will be listed as COM research space for services residing within the COM. This will remove the core service space from the research space allocation within the sponsoring unit.

II. Criteria for Establishing a New Support Service

A. Needs Assessment

i. Supply vs Demand

Documentation is required detailing the projected use of the service. Acceptable documentation includes grant activities currently listing this type of service on the budget page justifications, current publications from faculty using this type of activity, shared user instrumentation grant applications or letters of support from faculty outlining their specific needs.

ii. Cost Benefit Analysis

The rationale for starting an in house service rather than utilizing commercial services is required. Acceptable justifications include unique departmental needs, in-house versus out sourcing considerations, the necessity for local expedited service or the potential for new technology development. Not acceptable justifications include service proximity or convenience factors not tied to performance.

ii. Risk Assessment

There are potential services that exist on the “leading edge” that only one or a small group of principal investigators may recognize as having potential importance including the impact of a new service that faculty will be using in 2 to 3 years. This potential class of services could greatly enhance the research mission but may involve considerable risk. Justifications of leading edge type services must include an analysis of benefit versus risk.

iii. Other compelling considerations

Occasionally there is a compelling need for a rare service that is needed by a few investigators. Alternatively, a large number of faculty may use the service but need it only occasionally. These considerations will need explanation, justification and documentation.

B. Demonstration of a Unique Service

i. Documentation of No Overlap with Existing Services

Significant overlap with existing services is strongly discouraged, however in extraordinary circumstances some overlap will be considered if compelling justification is given. It is recognized that a proposed new service may have a minimal amount of overlap with existing cores. Overlapping services will require justification as a new service since in most cases, existing established core services are expected to integrate new

complementary services or take the lead in developing new complementary core services.

C. New Service Approval Process

The process for approving new research core services will be coordinated through the COM Research Office. The process will require a recommendation for approval by the sponsoring unit, the COM core support services committee, followed by a recommendation for approval from the Dean's Research Council and the Associate Dean for Research. Final approval lies with the COM Dean. For University wide core research support services, VPR approval is required.

III. Minimum Administrative Elements

- A. One Faculty Member or Service Professional with administrative and scientific oversight
- B. Financial Tracking Mechanism with Quarterly Reports
- C. Support Personnel
- D. Web based access for scheduling, data results, description of the service and fee schedule.
- E. Faculty based Users Group, meeting biannually with documentation
- F. Annual reporting of activities to Dean's Research Council
- G. Mechanism for communication with existing core support services

IV. Requirement of a Business Plan

- A. Fee Schedule Determination
 - i. Tiered Pricing or Bundling
 - ii. Pilot projects (keep same fee structure, mechanism of subsidization possible)
 - iii. Non-University Users (at the moment, a minimum rate of current fee plus 50.5% of base rate is used; 50% volume requires reassessment of user fee and non-university business plan)
 - iv. Justification
- B. Target Market
- C. Pro forma Projection (3-5 years)
- D. Financial Plan for Long Term Operation and Maintenance of Equipment
 - i. Requirement for inclusion of costs on PI users grants
- E. Revenue Distribution from Non-University User fees
 - i. Upgrades
 - ii. New Technology Development
 - iii. Subsidizing Interdisciplinary/Pilot Projects
- F. Incentive Plan
- G. Marketing Plan This should specify whether a web site will be used, brochures will be printed or if workshops will be scheduled and how this new service will be interfaced with research faculty

H. Plan for Maximum Utilization of Service/Instruments

- i. How requests are made
- ii. How time is allocated
- iii. Plans for attracting new users

I. Quality Control Review Process

i. Benchmarks for Success

- Listing of peer reviewed grant funding support for the service
- Number of users that have peer reviewed funding
- Number of users that include the service on grant budget
- User satisfaction
- Impact of service for publications, IDC, and total awards
- Unique features or niche of the service
- Balanced Scorecard (budget or goals are measured against actual costs)
- Participation, presentation, leadership in national/international core research facilities societies such as ABRF (<http://www.abrf.org>)
- Core facility conducted surveys of users that include assessment of data quality, data accuracy, turnaround time (Cores should distribute these to all customers, keep them (ALL) on file and have them available at the review

ii. Ensuring that all projects have received approval by institutional human subjects, animal welfare and biosafety committees.

The investigator is responsible for having appropriate UA regulatory approval.

iii. External Review process

Every three years, an external review of the service will occur. The external review may be accomplished by the required NIH core support services review. More frequent external review may also occur at the request of the users group contingent upon resources. This process will include an announcement (i.e. university web page, AHSC wide announcement) that a given core is coming up for review and performance feedback is solicited from the relevant community of researchers. This is an opportunity for feedback independent of that channeled through the core, a mechanism that has limitations.

V. Institutional Support

A. Equipment Purchase, Upgrade, Beta Testing

- i. Coordination with VPR for Development Fund Requests
- ii. Application for Large Equipment Grants
- iii. Partnering with other University units or non-University entities

B. The Bionstrumentation committee will review equipment purchases/requests that exceed \$100,000 and seek institutional support for their purchase. The committees recommendation will submitted to the Dean's research Council

VI. Space Utilization

Space allocations for College and University wide core research support services will be housed within existing department or center research space allocations. These will be labeled as COM Research space and therefore be exempt from the sponsoring units responsibility for bringing grant award dollars to justify the space. The justification for the space needs will be tied to performance of the service (volume) and unique space requirements (instrument footprint and adjacencies to specialized support). The COM research space will revert to the Dean's Reserve in the event of a consolidation or termination of a service.

VII. Strategy for Consolidation or Elimination of Existing University wide Core Services

A. Recommendation of Services Requiring a Change in Status

Following the external review process, the COM Core Support Services Committee will make recommendations to the Dean's Research Council (DRC) in the event that services are required to change status or require consolidation or elimination. The recommendation will involve a presentation to the DRC by the chair of the COM Core Support Services Committee and the Director of the Core Support Service or their designee. Approval of the recommendation by the DRC is required prior to approval by the Associate Dean for Research. Final approval lies with the COM Dean. For University wide core research support services, VPR approval is required.