OFFICE OF THE VICE PRESIDENT FOR

RESEARCH AND INNOVATION

GUIDANCE FOR
RESEARCH CORE FACILITIES

Updated January 2015

Preamble

The mission of the Office of the Vice President for Research and Innovation (VPRI) at the University of Oregon is to advance transformative excellence in research, innovation and graduate education. In support of this mission, the VPRI recognizes that faculty research success is often dependent on access to specialized facilities that support particular types of research capacity, such as specialized equipment, material, data acquisition, data analysis, consultation or expertise, and/or other service. These resources also support graduate students who take advantage of access to these tools and capacities by receiving specific training in their use and application, in conducting projects both independently and with their faculty mentors, and in pursuing later job opportunities. Many business sectors in Oregon and across the country also look to the University of Oregon to provide access to cutting edge equipment and expertise to expand capacity, build synergies and partnerships with faculty, and increase their bottom line by reducing investment burden.

The rapid increase in sophistication and operational costs of modern equipment and expertise often prevent these from being devoted to a single user or project. The UO research community is therefore best served through aggregation of these into common research cores. There are several reasons. The cost of specialized equipment or large scale services often outstrips a single faculty start-up package, research grant or industry contract. In addition, accessing and applying the equipment to specific research problems requires specialized expertise that many individual users do not possess. Lastly, technology is advancing with such rapidity that systematic, coordinated efforts need to be made for planned reinvestment to assure continued university access to the most modern equipment and expertise that are critical to researchers' future success.

As a result, top ranked research universities such as the University of Oregon have developed specialized research core facilities that a) enable shared access to high tech tools across faculty, departments and disciplines; b) provide specialized technical personnel to assist users in the application of the equipment or expertise to the problem at hand, and c) are organized to operate in a sustainable manner with adequate cost recovery and systematic equipment/expertise renewal. The Center for Advanced Materials Characterization in Oregon (CAMCOR) pioneered this approach as the first research core facility of its kind at the University of Oregon, providing cutting edge physical science tools and expertise to internal faculty/staff/student and external entity users to enable outstanding research and innovation. The Research Core Facility organizational structure not only supports individual research laboratories, it provides a demonstrated competitive advantage for successfully obtaining large scale instrumentation and center grants.

In recognition of the widespread user need for access to research core facilities in many disciplines that span the campus, VPRI, in partnership with units, worked to enhance the support for, and systematic organization of, these specialized research core facilities. CAMCOR and the Lewis Center for Neuroimaging were used as organizational models, drawing on business models put forth by the National Institutes of Health/National Center for Research Resources conferences and best practice materials, and utilizing the federal guidance provided in Circular A-21 and other relevant guidance. A process to solicit input from campus stakeholders as well as a research advisory board were created and utilized for a thorough review process. Initial Guidance was posted in FY15.

The purpose of this document is to provide guidance that sets out the common structure for the VPRI Research Core Facilities (RCF) and states the shared expectations of the various stakeholders involved in their use, operation, and management, to advance excellence in research, innovation and graduate education.

Overview

In its mission to advance transformative excellence in research, innovation and graduate education, VPRI has facilitated the development of many research core facilities to serve the research needs of the UO community. The guidelines below formalize and systematize the organization and operation of extant research core facilities, and provide a mechanism for the development of new research cores.

VPRI Research Core Facilities (RCFs) are organized to support the research and innovation activities of University of Oregon faculty, staff and students in a manner that comports with federal, state and university policies. All RCFs share the same common organizational stakeholders:

a) Users;
b) Faculty Advisory Committee;
c) Faculty Advisory Committee Chair;
d) RCF Director/Manager;
e) VPRI Divisional Budget Director
f) Research Core Business Services (RCB) Business Manager and staff
g) Associate Vice President for Research as liaison.

RCFs, due to their unique nature, may have additional elements (e.g., external advisory boards, service leaders, etc.), which are described in separate operational documents pertaining only to the particular RCF. These additional elements are developed and maintained by the Director/Manager. Operational documents pertaining to an individual RCF may be more specific, but cannot contradict this general guidance that pertains to all RCFs.

Specific roles are described briefly below:

- **Users** are University of Oregon faculty, staff or students, and university approved individuals such as faculty, staff, or students at other universities or external business entities. Users are responsible to utilize the facility equipment or expertise in a manner that comports with the specific RCF procedures and with university, state and federal policies (e.g., complete specific training as required).

- The **Faculty Advisory Committee** comprises several faculty who represent the scientific needs of the users across academic units, and as such, guides the RCF operation to ensure it enables and facilitates the scientific goals and research needs of its users.

- **Faculty Advisory Committee Chair** leads the Faculty Advisory Committee and represents and advocates for the faculty scientific needs reflected in the core facility operations. The chair is responsible to liaise directly with the AVPR and Director/Manage on programmatic, administrative and financial issues. The Faculty Chair is responsible for working with VPRI staff, the RCF Director/Manager, any service leaders and the Committee towards a common vision for RCF operations.

- The RCF Manager/Director is responsible for the day to day execution of the RCF operations, and is expected to carry out all general facility operations through regular consultation with the Faculty Chair and VPRI staff.

- Financial support services (accounting, billing, budgeting, human resources, etc.) to each RCF are provided by VPRI staff organized into a shared business support unit, called Research Core Business Services (RCBS).

- The RCF VPRI Divisional Budget Director is the VPRI staff person who is responsible for oversight, quality control, and guidance on business affairs of the RCFs, liaising with other university business and finance units, and supervising the financial staff and operation of Research Core Business Services (RCB).

- An Associate Vice President for Research serves as a liaison between VPRI and the scientific community, providing an overall programmatic administrative point of contact in ensuring the research core facility addresses the scientific needs of the campus.

There are several shared responsibilities that come along with operating as a RCF that helps ensure the core facility meets the needs of researchers in a manner that is financially prudent and programmatically viable:

- Provide outstanding service to campus researchers and constituents, and keeping its services current with user needs, as well as anticipate and plan for the future scientific needs.

- Operate the RCF according to the cost principles established in OMB CASB Circular A-21 and operate in a manner compliant with UO policies ("Managing a Service Center" and "Guidelines on Service Centers" http://brp.uoregon.edu/node/39) that collectively allocate the allowable costs of facility operation to projects in proportion to its use. By definition, research core facilities are designated university service center funds required to achieve a working capital compliance balance at the end of every fiscal year with rate setting review that will cost recover with total resources allocated for activity processed and not operate in deficit or surplus that exceeds 60 days of working capital.

- Actively participate in the annual VPRI cost analysis and rate setting process in the context of the overall university financial processes, as well as the VPRI RCF meetings.

- Maintain, update regularly (see below), and submit the required RCF materials.
    - Annual Report of RCF activity (every year in September)
    - Organizational Chart with job descriptions (every year by March)
    - VPRI Participate in cost analysis process that is reviewed by Director, FAC Chair and Committee and approved by VPRI annually (March).
    - Strategic Business Rationale (every second year in September)

Research Core Facility (RCF) Structure

I. *Users*

A. Characteristics
- RCFs are open for use by University of Oregon faculty, staff and student users, as well as community members, individuals affiliated with other universities or business entities authorized by the University.
- Users not affiliated with the University of Oregon should contact the RCF Business Manager to obtain information on user requirements, to register to establish an authorized account, and to complete the use agreement.

B. Internal & External Use
- RCFs differ in the proportion of internal and external users, and as such, each RCF can have differing expectations regarding the priority of facility use between internal and external parties or among user types.

- The specific rate for RCF use by internal and by external users must be stated and posted on the RCF website.

C. Expectations of RCF Use
- Users are expected to access or use the RCF equipment, services or expertise in a manner that comports with RCF procedures and expectations, and with university, state and federal policies.
    - RCFs can restrict access to certain user types.
    - Where training is required by university, state or federal policy, users must meet all training requirements before RCF use is permitted.

- RCF users must have sufficient extant usable funds to support use of RCF products or services before they are procured from the RCF. Users are expected to manage their funds and resources properly so that RCF use does not result in fund overdraw.
    - Students are required to have their faculty mentor's permission before using RCF facilities, if service usage will be recompensed with university funds, in order to ensure proper fund accounting. In giving the student permission to utilize university funds for RCF use, the faculty member is responsible for the student's charges, and is expected to give permission only when sufficient funds are available to the faculty member to recompense the RCF for use.
    - Units (primary is the unit that administers the faculty member's sponsored account, secondary is the unit of the faculty member's appointment home, if different) are responsible to support costs of RCF use in the unusual event of insufficient funds, and will be expected to make arrangements with the user for proper recompense to the RCF.

- If a user does not adhere to RCF policies, access to the RCF can be revoked by the Director/Manager, Faculty Chair, or Associate Vice Presidents.

II.*Faculty Advisory Committee (FAC)*

A. Membership
- The Committee is composed of at least 3 faculty members who utilize the services provided by the RCF.
- The FAC is created by canvasing identified users to provide recommendations for membership to the VPRI. The Manager/Director works with existing committee members to canvas user group to fill vacant positions. Self-nominations to the Vice President will be accepted.
- FAC Members are appointed by the Vice President for Research & Innovation (VPRI) for service of up to two consecutive, three year terms (staggered).
- The Committee typically meets no less than once during each academic term.

B. Responsibilities
- Provide guidance and feedback to the Director/Manager and VPRI on RCF operational procedures.
- Canvas or survey users to obtain feedback on the quality and utility of the current services and products
- Advise on the development, or termination, of services or products to the Facility Director/Manager and VPRI,
- Liaise with academic units and research Centers & Institutes
- Assist in efforts to secure funds for RCF equipment, such as federal equipment grants, foundation or development efforts;
- Provide input to the Director/Manager and VPRI on RCF rates and recommend changes in personnel or services to achieve the required "break even" budgeting.
- Provide input in annual performance review process for RCF staff (to Director/Manager) and for RCF Director/Manager (to RFD and AVPR)
- Contribute to the RCF forward business and operational planning to maximize impact
  - Work with the Director/Manager to ensure that updates to business and strategic plans are in line with users' scientific needs in the annual operational planning process
- Serve as a formal deliberative body to resolve disputes among users, or between users and RCF staff

Faculty Advisory Committee Meeting Schedule/Agenda
Mid October to Early November FAC meeting   - Review accounting data from previous year for rate setting   - Make recommendations about rate setting   - Discuss and draft user survey
Mid-January to early February FAC meeting (no later than Feb 15)   - Six month metrics for RCF reviewed   - Confirm rates for following fiscal year   - RCF personnel performance discussion and recommendations   - User survey distributed

> **May FAC meeting**
> - Review of user survey information
> - Strategic planning on service performance and needs
> - Review of usage, accounting of current year, and review business model for next fiscal year

III. *Chair, Faculty Advisory Committee*

A. Characteristics
- After soliciting nominations from the Committee members, the Chair is selected by the Vice President for Research & Innovation.
- Term of service not to exceed two consecutive, three year terms.

B. Responsibilities
- Lead the FAC.
- Work with FAC, Director/Manager, VPRI staff, and RCF staff towards a common vision and RCF operation.
- Represent research and scientific needs of the faculty and FAC and regularly meet with the Director/Manager to provide ongoing guidance and feedback on RCF operational matters.
- Liaise with VPRI on programmatic and administrative matters (reflected in the dotted reporting lines on the organizational chart)
- Ensure users feedback on the quality and utility of the current equipment, services and products is incorporated into RCF strategic planning.
- Lead or coordinate efforts to secure funds for RCF equipment.
- Review monthly RCF usage with RCF Director/Manager.
- Review RCF accounts quarterly with RCF Director/Manager & RFD.
- After soliciting input from FAC, work with Director/Manager and VPRI to develop RCF rates and determining changes in personnel or services to achieve the required service center compliance budgeting.
- Ensure FAC input is incorporated into annual performance review process for RCF staff (to Director/Manager) and for RCF Director/Manager (to RFD/AVPR).
- Work with Director/Manager on the forward business and operational planning of RCF to maximize its impact
    - Assist the Director/Manager on updates to business and strategic plans and ensure they are in line with users' scientific needs in the annual operational planning process

IV.   *RCF Director/Manager* (or similarly situated designee appointed by the VPRI)

A. Characteristics
- Professional, experienced personnel with the requisite background, expertise, and experiences to administer RCF operations in a manner that facilitates outstanding research by faculty and is consistent with university business practices guided by state and federal regulations.
- The appointment process of the Director/Manager is managed by VPRI with an AVPR serving as supervisor and hiring authority for this position.
- Some RCFs, depending on size, need and history, may distribute the aforementioned duties of the Director/Manager among more than one staff person, for example, between a Director/Manager and an Associate Director, or among a Director/Manager and Service Leaders. Each RCF Director/Manager shall maintain supplementary documentation describing these specific operational variations to be submitted with the other documents for annual review.

B. Responsibilities:
- Work with the Faculty Chair to operate the facility in a manner supporting the scientific mission and research activities of its users.
- Establish relationships and grow RCF business with both university and external users (where appropriate).
- Ensure the proper functioning of the facility and its equipment, services, and products.
- Oversee and ensure the conduct of RCF activities by staff, students and users are of the highest quality and comports with federal, state and university policies.
- Coordinate any teaching activities by RCF staff, with the assistance of the Chair if needed.
- Supervise the work, and appraise the performance of, all RCF staff and students in the annual performance review process, taking into consideration the input from the FAC communicated by the Chair.
- Conduct ongoing account review and operate the facility according to prudent financial practices consistent with federal, state and university policies (including those found on the BRP website pertaining to service center and recharge operations, http://brp.uoregon.edu/node/39).
- Establish a written, consistent routine method for tracking facility product and service usage.
- Report usage information on a monthly basis to the Core Business Services personnel.
- Coordinate with RCF Business Manager, FAC Chair, in rate setting process
- Maintain and update all RCF annual review materials, and submit them annually to the RFD.
- Work directly with the RCF Business Manager, on all issues involving facility finances, including the following: budgeting, billing, ordering, and personnel appointments/human resources.

V. *Research Core Business Services*

Research Core Business Services (RCB) provides financial and other business support to the RCF's, enabling operation as a research service center/specialized service facility in a manner consistent with the federal regulations, including those described in OMB Circular A-21, as well as state and university policies, including for university service centers as described on UO's Budget and Resource Planning website http://brp.uoregon.edu/node/39. Research Core Business Services utilize a shared distributed administrative service model that is costed proportionately to the RCF budgets, which allows consistent RCF administration, uniform access to administrative personnel with specific expertise, and optimization and minimization of administrative costs to any one RCF.

A. Responsibilities
- Develop a written document describing the specific accounting and billing procedures for each RCF.
- Conduct space/facility management activities, such as liaising with Facilities Services and updating the space utilization information.
- Work with the Director/Manager to ensure that all business practices are implemented according to university policy, state and federal regulations.
- Prepare with the Director/Manger the RCF budgets and review them in an on-going basis with the Director/ Manager, Chair and RFD, no less than quarterly to assure service center compliance status as required by university policy.
- Prepare the UO Service Center Rate Development Worksheet found on the UO Budget and Resource Planning website http://brp.uoregon.edu/node/39
- Assist the Director/Manager in preparation of all required annual RCF review materials (see Appendix) and ensure they are submitted to the RFD in a timely fashion as a part of the rate setting process.
- Distribute and review RCF budgets and expenditures annually with the FAC.

Research Core Facilities (RCF) Critical checkpoints and Fiscal Year processing deadlines
July   • Fiscal Year begins   • Review personnel FTE and labor distributions to ensure FTE and labor distribution accuracy   • Review monthly invoice reports and account summaries (every month)
August   • Carry forward Process Opens/Closes   • Data available for Prior FY
September   • Annual Report/Business plans due
October   • Schedule Director only and Quarterly FAC meetings needed for rate setting requirements Communicate dates to Research Core Business Services Manager and Budget Director
November   • Collect data for rate setting ad budget draft review with assigned AVP and Core Business Staff   • Review FY 15 estimated expense budget vs. actuals
December   • Participate in cost exercise to determine next fiscal year estimated gap or surplus. Discuss central allocation with AVP and Core Business staff   • University-wide Budget process opens
January and February   • Meet with VPRI to review cost projections and finalize central allocation for next fiscal year   • Lead Director only and Quarterly FAC meetings
March   • March 1 Deadline to send memo to community to notify rate expectations for next fiscal year.   • Conduct Performance Evaluations for Director and core facility staff that are not on the classified schedule. Route to Research Core Business Services Manager.   • Personnel actions must be finalized before March 30th and need allowance for two weeks of VPRI review   • Beginning Budget Process Opens
April   • Participate in Research Core Facility Merit Increase review and submit merit data to Business Manager and Budget Director   • FAC canvases/surveys users on RCF services and equipment   • Beginning Budget Process Closes
May   • Lead Director only and Quarterly FAC meetings   • Beginning Budget uploaded
June   • End of FY processing and review of surplus or deficit with VPRI

VI. *VPRI Oversight*

A. Associate Vice President for Research
- RCF programmatic oversight is divided among the Associate Vice Presidents for Research (AVPR) on the basis of expertise, background, and interest.
- Provides oversight, quality control, and guidance on programmatic affairs of all RCFs, and oversees the administration and operation of the RCFs.
- After receiving input from the FAC communicated by the Chair, conducts the performance appraisal of the RCF Director/Manager.
- Liaises to the community of users and serves as an administrative point of contact to ensure the RCF addresses the scientific needs of the researcher community.
- Meets regularly with the Committee Chair to review the user feedback and provide recommendations to the Vice President for Research & Innovation on RCF programmatic matters through various means, including the annual business and strategic plan updates.
- Provides overall recommendations to the Vice President for Research & Innovation on RCF programmatic matters.

RCF Annual Cost Analysis Process

RCFs are expected to operate according to the cost principles established in OMB CASB Circular A-21 and in a manner compliant with UO policies ("Managing a Service Center" and "Guidelines on Service Centers" http://brp.uoregon.edu/node/39) that collectively allocate the allowable costs of facility operation to projects in proportion to its use. By definition, research core facilities are required to achieve a service center compliance balance at the end of every fiscal year, with rate setting review that will cost recover with total resources allocated for activity processed and not operate in deficit. In 2014, a scheduled three year program was developed to create sustainable allocations for essential research core facilities with collaboration and input from faculty advisory committee, core directors and core business staff.

The RCF cost analysis process below is expected to be conducted annually, according to the timetable described on pages 20-21. The process is designed to consistently review the rates in proportion to facility expenses. This rate setting process may be initiated by the Director/Manager or VPRI and conducted at other times during the year as circumstances warrant, in order to enable the RCF to meet its fiscal obligations set forth in university, state, and federal policies and regulations.

In collaboration with VPRI, the Research Core Business Services staff pulls costs from Banner for previous fiscal year and loads it into the standard VPRI budget format. The material is updated based upon known and/or approved changes and includes estimates of revenue in the next year. Costs are organized in categories according to BAO guidelines, which determine allowableness and preliminarily allocates to the various RCF activities, services or products.

The AVPR, VPRI Divisional Budget Director, Research Core Business Services Business Manager, Facility Director/Manager and Faculty Advisory Committee Chair will have an opportunity to review the material to ensure expenses and charging schemas are appropriate, are allocable and allowable, and applied consistently with university, state, and federal policies and regulations. On-campus Facilities & Administrative costs are included in all rates charged to external users and are recovered centrally according to standard UO Sponsored Projects Services procedures. The rate estimates for the next year are constructed and reviewed against the estimated budget and its component. This process is performed iteratively until rates, revenues and expenses are in compliance or clear alternative scenarios are developed to achieve the compliance target for subsequent discussion with the FAC.

The AVPR, Director/Manager and Chair discuss the documents with the FAC and gather input on the rates, including increasing charges, decreasing expenses, or expanding or reducing services. Research Core Business Services staff will attend and take minutes of these discussions.

The Director/Manager works with the VPRI Divisional Budget Director, RCBS staff to finalize the recommendation regarding RCF product and service annual rates.

The RCF Director/Manager, with assistance from RCBS, develops and updates the annual RCF review and rate setting documents:

- VPRI Cost Analysis cover sheet and FY estimated Expense Review
- Rate sheet for existing and any changing rates
- Memorandum for communication to the research community
- Organizational Chart (Attach Job Descriptions)

After VPRI approval is secured, the VPRI Cost Analysis package is submitted to Budget and Resource Planning (BRP) for review. BRP reviews and makes recommendation to the Vice President for Finance & Administration (VPFA).

After VPFA approval is secured, the approved rate can be implemented on July 1st of the following fiscal year, with any personnel or service changes necessary to implement the approved rates being conducted in accordance with university policy prior to July as dictated. If the rate setting process is conducted in an off-cycle manner, the rates will be implemented with at least 90 days notice to research community.

Personnel Review Process

I. RCF Faculty/Staff

In general, the RCF is staffed by employees whose employment is governed by one of two organized labor contracts. All personnel actions for union members are directed by those individual agreements. The information provided below is meant to provide a summary of engagement regarding the performance review process that can apply within the framework of both contracts. Timelines and details of the process may vary and the contractual language must be consulted for final determination.

- The RCF Director/Manager is the supervisor, evaluator and signatory on all RCF faculty and staff performance evaluations. The Director/Manager considers the input provided by the FAC, communicated by the Chair, and evaluates work and performance of all RCF faculty, staff and students.

- The RCF Director/Manager sets and shares performance goals for the facility and staff on an annual basis as part of the performance review process.

- The FAC is engaged in evaluating the performance of RCF staff through their formal discussion at the winter Quarterly Meeting.

- The Chair communicates constructive feedback to the Director/Manager during the defined performance evaluation period, so that the feedback can be included in the formal employee evaluation process conducted by the employee's supervisor.

- RCF faculty and staff are funding contingent, and as such, the type of, need for, and level of work will be recommended by the RCF Director/Manager. Following input from the AVPR, and the FAC as described above, to the RFD for consultation on financial

considerations. All RCF professional staff are employed under a C4UA contract if the employee is a bargaining unit NTTF or an F contract if the employee is an Officer of Administration. A C4UA contract is used for the appointment of a bargaining unit faculty member into a career non-tenure-track appointment for which external funds (i.e. grants, gifts, income) provides the main source of funding, such as for core facilities. Contract length is one year, and notice or renewal, non-renewal or termination for funding reductions is as "soon as practicable" (Collective Bargaining Agreement, Article 16, §9). The F contract, "funding contingent", for Officers of Administration has similar terms and is no more than one year in length, where timely notice is required before April 1 of the fiscal year.

After consultation described above, and in accordance with university policy, decisions to alter, continue or terminate the duties, FTE and contract of RCF faculty or staff will be made by the Director/Manager, with oversight by RCB and AVPR.

II. RCF Director/Manager

- The identified AVPR is the supervisor, evaluator and signatory on the RCF Director/Manager performance evaluations. The AVPR considers the input provided by the FAC, communicated by the Chair, and evaluates work and performance of the RCF Director/Manager.

- The AVPR sets annual performance goals for the RCF Director/Manager for the coming year in the performance review.

- FAC discuss performance of RCF Director/Manager in the winter Quarterly meeting

- Faculty Chair communicates feedback to the AVPR during the defined performance evaluation period, so that the feedback can be included in the formal employee evaluation process conducted by the employee's supervisor hiring authority/evaluator.

- RCF Director/Manager is funding contingent and as such, the type of, need for, and level of work will be recommended by the AVPR, following input from the RFD and the FAC.

- After the above described consultation and in accordance with university policy, decisions to continue, adjust or terminate the contract of the RCF Director/Manager will be made by the supervisor hiring authority/evaluator.

Strategic Planning Process

The FAC canvases or surveys users to get input on campus research and innovation needs related to the RCF.

FAC considers campus input in light of:
- Federal funding trends and opportunities
- Facility use
- RCF budget, revenue, and costs
- Opportunities for local, state, and national impact and service.

The FAC Chair makes recommendations to AVPR regarding equipment, service and product needs or changes (e.g., augmentation, reduction, addition or termination). The Chair, Director/Manager, AVPR and RFD work together to examine feasibility, and if promising, jointly develop a concomitant work and/or business plan for acquisition and ongoing operation and maintenance, with the assistance of the Identified Business Manager. This material will then be included in the annual RCF review documents for consideration and review the subsequent annual review process.

If grant or development opportunities are to be pursued to secure funds for RCF equipment, typically the Chair (or designee) will lead or coordinate efforts to develop the proposal, working with the pertinent VPRI staff (e.g., Research Development Services, Development Officer, SPA) and Identified Business Manager on any needed financial information.

If RCF services are to be substantively reduced or terminated, the FAC is responsible to communicate prospectively to campus constituents the nature, timing, and rationale for the approved changes.

Dispute/Complaint Resolution Processes

Disputes/complaints regarding the RCF may arise among users or between the RCF staff and users. Any party to the dispute/complaint may bring the matter before the FAC. The FAC shall gather information from all involved and make recommendations on the matter to the appropriate AVPR for a decision. Appeals by the parties involved may be made to the Vice President for Research & Innovation for final decision only after review and decision by the AVPR.

Conflicting perspectives may also arise regarding the facility operation that cannot be resolved through regular discussion between the Director/Manager and the FAC. Whenever possible, such differences in perspectives regarding facility operation should be resolved via the joint interaction and mutual discussion among the Director/Manager and the FAC. If any differences cannot be resolved, the AVPR will facilitate further discussion between the Director/Manager and the FAC in order to resolve conflicts. In cases in which a conflict cannot be resolved in this manner, the AVPR is responsible for the final operational decision. Conflicts regarding financial and/or animal care or human subject matters may be encountered infrequently that are covered by university policies or state or federal regulations that mandate specific actions and make it inappropriate to consult with the executive committee, and thus are the AVPR's responsibility.

<center>***RCFs and Research Compliance Services***</center>

I. *Animal Care & Use:*

If the RCF includes animal use or care, the Director/Manager operates the RCF under the auspices of the University of Oregon Program for Animal Care and Use, administered by the Animal Care Services Director, who is responsible for overall compliance of all animal care programs and facilities with all federal regulations that govern the care and use of animals in research and teaching. The Director/Manager also is responsive to the University Attending Veterinarian, the Institutional Animal Care and Use Committee (IACUC), and the Institutional Official (IO) to ensure that the facility is operating in a manner fully compliant with all federal animal care regulations and university policies that pertain to animal use and care. Standard Operating Procedures and general facility protocols are developed by the RCF Director/Manager, reviewed by the FAC, before being sent to the IACUC for institutional review and adoption. All users must comply with pertinent training requirements according to university, state and federal policies and regulations before RCF use.

Animal protocols for laboratory-specific procedures are the responsibility of staff in the individual laboratories, and not RCF staff or the Director/Manager.

As per policies and regulations regarding use of animals in research, any potential animal health concern and/or violation of approved protocols shall be brought to the immediate attention of the Attending Veterinarian and the Animal Care Services Director by the RCF Director/Manager, staff or students. As warranted and per university policy, investigation of the concern is conducted by the IACUC or its designees.

II. *Human Subjects Responsibilities:*
If the RCF includes the use of human subjects, the Director/Manager operates the RCF in a manner that is compliant with the human subject protocols approved by the University of Oregon Research Compliance Services, who are responsible for overall compliance of all federal regulations that govern the use of human subjects in research. The Director/Manager is also responsive to the Institutional Official to ensure that the facility is operated in a manner fully compliant with all federal regulations and university policies that pertain to human subject use.

Standard Operating Procedures and general facility protocols are developed by the RCF Director/Manager, reviewed by the Committee, before being sent to the Human Subjects (HSC) Committee for institutional review and adoption. All users must comply with pertinent training requirements according to university, state and federal policies and regulations before RCF use.

Human Subject protocols for laboratory-specific procedures are the responsibility of staff in the individual laboratories, and not RCF Director/Manager, staff or students.

As per policies and regulations regarding use of human subjects in research any potential human health concern, and/or violation of approved protocols will be brought to the immediate attention of the Research Compliance Service Director by the Director/Manager, staff or students. As warranted and per university policy, investigation of the concern is conducted by the HSC or its designees.

III.*Environmental Health & Safety and Radiation Safety:*

If the RCF includes the use of agents, products, services, etc. that fall under the regulations to ensure environmental health and safety or radiation safety, the Director/Manager operates the RCF in a manner that is compliant with these regulations as approved by the University of Oregon Biosafety or Radiation Safety Committees who are responsible for overall compliance of all federal regulations that govern their use in research. The Director/Manager is also responsive to the Institutional Official and Biosafety Officer to ensure that the facility is operating in a manner fully compliant with all federal regulations and university policies that pertain to use. Standard Operating Procedures and general facility protocols are developed by the RCF Director/Manager, reviewed by the FAC, before being sent to the respective review Committee for institutional review and adoption. All users must comply with pertinent training requirements according to university, state and federal policies and regulations before RCF use.

Institutional Biosafety or Radiation Safety protocols for laboratory-specific procedures are the responsibility of staff in the individual laboratories, and not RCF Director/Manager, staff or students.

As per policies and regulations, any potential health or safety concern and/or violation of approved protocols will be brought to the immediate attention of the Environmental Health & Safety Director by the Director/Manager, staff or students. As warranted and per university policy, investigation of the concern is conducted by the Safety review committee or its designees.

APPENDIX

I. Strategic Business Rationale

II. Organizational Chart (Attach Job Descriptions)

III. UO Service Center Rate Development Worksheet
   Include one for completed FY, current FY, and projected for next FY
   Worksheet can be found on UO's Budget & Resource Planning website:
   http://brp.uoregon.edu/node/39)

IV. RCF Annual Report

V. Any RCF-specific operational documents

I.   RCF Strategic Business Rationale

RCF NAME: _____

FY: _____   *RCF Director/Manager:* _____

The purpose of this document is to describe 1) the value of the VPRI Research Core Facility to the research community, 2) the rationale for why the particular products/services provided by the core facility are necessary to facilitate research excellence at UO, and 3) the financial viability of core facilities with details on expected revenue that will offset expected operational costs.

- What are the products or services to be provided by the RCF? Attach current rate schedule for all products/services.

- What are the advantages of organizing these products/services in a RCF?

- What types of research will take advantage of products/services offered?

- List the current UO independent PI users of the facility.

- List the current outside users of the facility.

- What is the demand by outside users for the offered products/services?

- What is the competition for such products/services and how does this facility produce value added over the competition?

- Describe the space occupied, who controls the space and what agreements are in place for continuing occupancy, and include a floor plan describing the use of the space.

- Describe your plans for marketing the products/services provided by the RCF, both on and off campus, including responsibilities for developing/maintaining the core facility web site?

- Describe the mechanism to gather annual feedback from users on the nature of the product/services offered and their quality.

- What student training opportunities are offered by the RCF?

- What are the typical one-time and on-going operational costs? Include:

Fixed Costs
- Personnel/benefits
- State-funded staff
    - Income-funded staff
- Capital equipment (describe source of funding for each)
    - Scientific equipment reserve (cannot exceed 20% of revenue nor be retained >3 years)
    - New instruments
- Other operating expenses
    - Maintenance contracts
    - Phone, FAX, copying costs
    - Shipping costs
    - Office supplies, Etc.

Variable costs
- Costs of creating each unit of product/service (e.g., reagents, supplies, etc., per sample)

- Time and materials equipment repair

- Are there costs that cannot or will not be recovered? Why?

- How are the RCF costs projected to change over the next 3 years?

- User-fee income is expected to contribute most if not all of cost recovery revenue. What fiscal resources are expected from users, departments/units/colleges, VPRI, and other sources? Include:

Revenue forecast
- Project the number of units to be sold for each unit of product/service.

- Show that your sales forecast and subsidies (e.g., state-funded staff, F&A contribution, etc.) produce the necessary funding to cover all fixed and variable costs.

- How are the RCF sources of revenue projected to change over the next 3 years?

II.   Organizational Chart
(attach all current Job Descriptions)

Name of Research Core Facility – Organizational Chart

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┌─────────────────────────────────────────────────────────┐
│       Interim Vice President for Research and Innovation   │
│                      Brad Shelton                          │
└─────────────────────────────────────────────────────────┘

                    ┌──────────────────────────────────┐
                    │  AVPR Supervisor Hiring Authority  │
                    └──────────────────────────────────┘

┌──────────────┐              ┌──────────────────────┐
│ Faculty Chair │- - - - - - - │         RCF           │
└──────────────┘              │    Director/Manager    │
                              └──────────────────────┘

┌────────────────────────────┐          ┌────────────────────────────────────┐
│ Faculty Advisory Committee  │          │  VPRI Divisional Budget Director     │
└────────────────────────────┘          ├────────────────────────────────────┤
  ┌──────────────────────┐              │  RCB, Business Manager               │
  │  Committee Member 1  │              ├────────────────────────────────────┤
  ├──────────────────────┤              │  Research Core Business Services     │
  │  Committee Member 2  │              │  Staff                               │
  ├──────────────────────┤              └────────────────────────────────────┘
  │  Committee Member 3  │
  ├──────────────────────┤
  │  Committee Member 4  │
  ├──────────────────────┤
  │  Committee Member 5  │
  ├──────────────────────┤
  │  Committee Member 6  │
  └──────────────────────┘

            ┌──────────────────────────────────────────────────┐
            │           Research Core Facility Services          │
            └──────────────────────────────────────────────────┘

  ┌──────────┐ ┌──────────┐ ┌──────────┐ ┌──────────┐ ┌──────────┐ ┌──────────┐
  │ Service 1 │ │ Service 2 │ │ Service 3 │ │ Service 4 │ │ Service 5 │ │ Service 6 │
  └──────────┘ └──────────┘ └──────────┘ └──────────┘ └──────────┘ └──────────┘

    ┌──────┐    ┌──────┐     ┌──────┐     ┌──────┐     ┌──────┐     ┌──────┐
    │ Staff │    │ Staff │     │ Staff │     │ Staff │     │ Staff │     │ Staff │
    └──────┘    └──────┘     └──────┘     └──────┘     └──────┘     └──────┘
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III.   *RCF Annual Report*

RCF NAME: _____

RCF Director/Manager: Report on core facility performance of the past FY, including:

1. Summarize changes to the RCF's Strategic Business Plan, Organizational Structure, Revenue, Costs, including any investments made (e.g., replacement or upgrade of equipment or expertise) and their resultant impact

2. Summary of user feedback & description of how feedback refined facility operation

3. Request for new investments in next FY and anticipated return on investment

4. Core Facility Metrics. The following metrics have been designed to measure the utilization, research productivity, and institutional costs associated with the operation of the core facility. Some of these data are also required for successful applications for shared instrumentation grant programs, which VPRI strongly encourages its supported core facilities to pursue. These metrics should be compared to data from the previous reporting period, as available.

    -   Usage (which of these apply depends on the type of service/products provided)

    -   List of UO independent PI users

    -   List of outside users

    -   Number of samples run/service units provided by service type

    -   Instrument/service utilization (if applicable), including time spent on each activity, developing methods, conducting maintenance, down time, idle time

    -   List of current grants using core, list of grants generated by core facility staff

    -   Publications resulting from data generated from RCF use

    -   List of technology transfer disclosures or patents

    -   List of training activities and students trained in facility