

Preparation of a Proposal for a New SMPH Core Facility

The policies and procedures within this document have been established to provide coordination, oversight, and support of Core Facilities that are established and operate within the SMPH. This document provides procedures and guidelines for proposing and operating a successful Core Facility.

Core Facilities are centralized shared research resources that provide access to instrumentation, technologies, services, expert consultation and other services to scientific and clinical investigators. They also provide external customers with access to core research and/or clinical product(s) and/or service(s). All interactions with internal and external customers are recorded and invoiced according to set fees via a Revenue Producing Account (RPA). Core Facilities must comply with applicable State and Federal laws (United States Government Office of Management and Budget (OMB) Circular A-21, Cost Principles for Educational Institutions and Cost Accounting Standards, Section J.44) requiring such facilities to document rates, practice appropriate accounting practices, invoice customers appropriately, and abide by additional internal policies and procedures.

Guidelines for the creation of a Core Facility and essential elements of a sustainable management plan are provided below.

I. Description of the Mission and Goals of the Core Facility:

Describe the Mission and Goals of the proposed Core Facility. Provide specific goals for the first 3 years of operation.

II. Statement of Scientific Need and SMPH Impact:

Define the need for the proposed Core Facility and the research programs that it will support within the SMPH. Discuss the broad applications of the technology or expertise that will be housed in the new core. Discuss the impact of the core on the education, research and service missions of the SMPH. Discuss why it is better to have the facility housed within the SMPH rather than outsourcing the services.

III. Definition of Facility Activities:

Central components of a Core Facility should be routine access to technologies/expertise (service), training activities and dissemination of information for specialized technologies (education), and/or development of the technology or its application (R&D). Define the services, training opportunities, and/or R&D efforts that will be provided by the Core Facility.

IV. Discussion of the Impact on Existing Facilities:

Do similar facilities exist on campus? If so, discuss why the existing facilities do not meeting current need, e.g., technology/services customized for specific applications, dissatisfaction with current core support, geographic location, etc. Will the new facility be competitive or complementary to these existing facilities? Will creation of a new facility result in reduced use of an existing Core Facility?

V. Appointment of a User Advisory Group (UAG):

A User Advisory Group (UAG) will be created to advise on scientific and technical service development necessary to meet the needs of the user community. The UAG should include a non-major user to reduce conflict of interest. The UAG should be composed of 3-5 members, with the majority being faculty. List the faculty who will be asked to serve as UAG members. What is their

professional relationship to the Core Facility and its Director? Is there an operational conflict of interest with any of the selected committee members? There should be regular meetings and documentation of committee meeting agendas and any actions taken.

VI. Descriptions of Necessary Operations Components:

Personnel:

Identify the Core Facility Director (required; typically a faculty member) and additional staffing (if needed). Describe staff roles and responsibilities in the context of the core functions.

Equipment:

What equipment is required? Does the equipment currently exist on campus or will it be purchased specifically for the Core Facility? Describe how this equipment will be used within the core?

Space:

Describe the space requirements for the facility, including required remodeling if needed. Where will the facility be located?

Other:

Describe any other components required for establishment of the Core Facility.

VII. Description of Finances:

Clearly address the resources required for “basal rate” operation of the facility as well as proposals for any resources that will be required for future growth/expansion (vision for future phases, if relevant). Any financial support requested from SMPH, Campus, or department/center must be stated and justified.

Personnel:

Identify the positions that will be funded by the Core Facility, including subsidized funding mechanisms, if available.

Capital Investment Necessary:

Will equipment purchases be required? If so, itemize and estimate purchase costs. Will initial operating support (personnel, supplies, etc.) be necessary until services are fully utilized? List amounts and sources of funding that have already been identified for capital and operating expenses.

Supplies/Reagents/Other:

Will supplies, reagents and other required materials be purchased as an initial investment or provided by researchers, department, center, SMPH, and/or Campus?

Service Rate Analysis:

Develop a rate schedule with calculations that define how rates are determined. Calculations should include costs of personnel and equipment costs. Include internal and external rates.

Financial Projection:

Provide a 3-5 year operating budget projection including all anticipated funding sources. Expenses should include personnel, equipment maintenance costs (service contracts), supplies and ancillary expenses (telephone, computers, continuing education, secure data access and storage, etc.). Funding sources should include any current or anticipated grant(s) as well as department, center or SMPH funds used to subsidize any portion of the operation.

Long-Term Sustainability:

To allow reallocation of core development funds to new initiatives, business plans for core development are expected to describe the percentage of the core's total budget that will be sustainable without additional SMPH subsidies. Describe milestones to be achieved within 3-5 years. The description should document any resources (fiscal, equipment, personnel, etc.) that have been committed to support startup or long-term subsidization of the core. List the amounts and sources of pledged support.

Usage Projections/Market Analysis:

What is the market for this Core Facility? (Document "committed" and projected Internal Customers and partnerships as well as External Customers.) Is the core discipline specific (cell biology, microbiology, biochemistry, etc.)? Does the Core Facility service a particular research community on campus (basic, translational, clinical, population science)? Is there an untapped internal or external market for use of the core? Describe any previous or ongoing efforts to tap into this market. Who are the competitors in this market? Include a communication plan for targeting potential internal and external users. Include an indication of the total capacity of use of the facility. If capacity is reached, will services be outsourced to an established provider or will expansion of the Core Facility be possible or required?

VIII. Five Year Plan for Equipment Purchases, Upgrades and Expansion:

What additional equipment will need to be purchased within the first 5 years of operation? Outline a preliminary plan for expansion, if relevant. How will a need to expand be identified; how will decisions be made? What is the plan for maintaining the relevance of the facility in relation to the research needs of the campus community? Do you anticipate the need for additional capital funds?

IX. Sun-setting:

Indicate the exit strategy that will be employed in the event the Core Facility ceases operations due to reduced user demand and/or inability to sustain funding.

XII. Conflict of Interest Commitment:

The Core Facility Director must attest that he/she will abide by the guidelines of an institutional Core Facility, as well as applicable State and Federal Policies.