THE UNIVERSITY OF ARIZONA
Research
Innovation & Impact

University Core Facilities Governance Policy

Roles, Responsibilities and Guidance for Administration & Management

Last updated
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Purpose & Objectives

University-level Core Facilities (UCF) at the University of Arizona are supported and administered by the office for Research, Innovation & Impact (RII). UCFs are a cornerstone of university infrastructure whose purpose is to advance excellence in research and development, create new knowledge and human capital, and support external engagement and partnerships as an extension of the university's land grant mission.

UCFs achieve this purpose through four primary objectives:

1. **Research** – enabling investigators to be at the forefront of their fields through centralized state-of-the-art instrumentation, specialized services, and expert consultation not available elsewhere on campus and, in many cases, within the region.
2. **Education** – training students, faculty, and staff in cutting-edge capabilities and for high-tech workforce preparation.
3. **Collaboration** – creating an interdisciplinary network of facilities throughout campus for faculty, researchers and students from different departments and colleges as well as scientists in government and industry.
4. **Sustainability** – managing complex facilities that are operationally efficient, comply with university, state and federal policies, require a balanced financial model of recharge revenue and institutional subsidies, and are accountable to a transparent, data-driven, review process.

Governance

UCFs are administered through the Office for Research, Innovation & Impact (RII) which is responsible for final decisions regarding UCF personnel, operational management and financial support. Administration and oversight of UCFs is informed by a shared governance model of decision-making dependent on an integrated structure of stakeholders (see Appendix A), whose roles and responsibilities are outlined below, and an annual review process overseen by the UCF Steering Committee.

Faculty shared governance is represented in this structure through Faculty Research Advisory Committees (FRACs, or their equivalent) which advise on all aspects of operational and financial management of the UCFs. FRACs, working in partnership with Users, UCF Core Managers, and others are responsible for ensuring success in achieving the research, educational, collaboration and sustainability objectives outlined above. FRAC Leads also serve on the UCF Steering Committee that meets semi-annually with RII Leadership and UArizona Faculty Senate Research Policy Committee (RPC) to discuss overall institutional strategy and review UCF Annual Report recommendations.

This UCF Governance Policy is intended to provide an overarching administrative and management framework reinforcing university and RII strategic priorities, regulations, policies and procedures. It should also guide the development of corresponding documents at both the UCF system level and the localized UCF-specific level:

> ***RII UCF Governance Policy***
> RII UCF Policies & Procedures
> > UCF-specific Vision, Mission, Goals and Objectives
> > UCF-specific Policies & Procedures

Stakeholder Roles & Responsibilities

The UCFs share a common organizational structure and associated expectations for the various stakeholders involved in their use, operation, and management. Stakeholders are committed to working together, guided by the overarching, shared purpose and objectives for UCFs. They also have commensurate responsibilities to be carried out in accordance with federal, state, and UArizona regulations, policies and procedures.

Users

Users are the researchers, students, and others who use UCF equipment, technologies, expertise and services.   UCFs are accessible to the entire university community, individuals affiliated with other universities and external entities authorized by the university. UCFs are established first and foremost to meet the research needs of the UArizona community and are open to external entities that wish to utilize the capabilities, engage the services to promote collaboration and serve our constituencies. Users influence the goods and services provided by UCFs, as well as their relative pricing, through market demand. Users must register for an access account by contacting the UCF specific to the services requested.

Responsibilities
-   Users are expected to access and utilize the UCF equipment, technologies, expertise, and services in a manner that comports with specific standard operating procedures for each UCF, RII and university procedures and policies, and federal rules and regulations.
-   Users shall meet all training and appropriate safety requirements specified by the UCF or UArizona policies before use of UCF equipment, technologies, expertise or services is permitted.
-   Users must have available funds to which UCF equipment, technologies, expertise, or service use charges are allowable before such utilization is procured from a UCF. Users and their PIs, in coordination with their business office, are expected to manage their funds and resources properly so that UCF utilization does not result in fund deficits.
-   If the User does not comport with UCF standard operating procedures, expected practices, guidance, policies, rules or regulations, UCF access may be suspended.

Faculty Research Advisory Committee (FRAC)

The FRAC (or equivalent body) represents the scientific needs of the researchers across academic units and colleges. Through the FRAC Lead, it advises the Core Manager, Operations

Director and RII Leadership on all aspects of the UCF's operational and financial management. There may be UCFs which do not require faculty input as their function is less research-focused and more oriented to the provision of goods and services (e.g. Cryogenics & Gas Facility).

- The FRAC is composed of at least 3 UArizona faculty whose scientific research area aligns with the UCF and who utilize the equipment, technologies, expertise or services provided by the UCF.
- Nominations for FRAC service are solicited annually by the FRAC Lead from the communities of researchers who use the equipment, technologies and services. The Core Manager, Operations Director and RII Leadership may also forward nominations to the FRAC Lead.
- FRAC members are appointed by RII leadership for service of up to two consecutive three-year terms that are staggered to ensure continuity.
- Faculty may serve on no more than two FRACs concurrently but may serve as FRAC Lead of only one.

Responsibilities
- Provide scientific guidance to advance research capabilities enabled by the UCF equipment, technologies, expertise, and services. This includes recommendations to Core Manager, Operations Director and RII Leadership on the development, termination or sunsetting of equipment, products, services or facilities, standard operating procedures, staff hiring and performance, and use rate setting process.
- Conduct annual user survey to solicit input on campus research needs related to the UCF, assess the success of the UCF's mission, goals, objectives, services and products, and anticipate future scientific needs.
- Develop/update strategic plan for UCF aligned with the research needs to define the facility's short- and long-term priorities, and in coordination with the annual business plan.
- Lead and form research teams to develop proposals for internal and external funding to support strategic investment in the UCF in coordination with the Core Manager, Operations Director and RII Research Development Services to prevent duplication and redundancy and ensure alignment with the defined strategic priorities.
- Engage other faculty in supporting, utilizing, and promoting the UCF capabilities to the research communities internal and external to UArizona.
- Assist Core Manager in preparation of an annual business plan with performance goals in partnership with the Operations Director and RII Business Center.
- Provide input to the UCF annual review process to the FRAC Lead and Operations Director.
- Convene quarterly or more frequently as needed. FRAC members' attendance is required at FRAC meetings. If a FRAC member misses more than half of the scheduled meeting per year, RII will request the FRAC Lead to nominate a replacement.
- If the FRAC is unable to complete these responsibilities, the Core Manager and Operations Director have the authority to proceed with the strategic, administrative and operational decisions necessary to manage the UCF.

Faculty Research Advisory Committee (FRAC) Lead

The FRAC Lead oversees the FRAC and takes a leadership role (science and/or service) in representing the collective interests of the researcher communities and advancing the goals and objectives the UCF.

- FRAC Leads are tenured UArizona faculty members whose research aligns with the UCF.
- Nominations for FRAC Lead are solicited from the FRAC membership and forwarded to RII Leadership for final appointment for service of up to two consecutive three-year terms.
- FRAC Lead terms may be served in addition to term limits on FRAC membership.
- Faculty may only serve as FRAC Lead of one FRAC at a time but may serve on no more than two FRACs concurrently.

Responsibilities
- Provide leadership of the FRAC to guide the scientific direction of the UCF in partnership with the Core Manager by facilitating consensus among the FRAC membership and key stakeholders.
- Liaise directly with the Core Manager and Operations Director to operationalize the scientific guidance and recommendations of the FRAC.
- Serve as "chief advocate" with researchers and colleagues about UCF capabilities and promote use internal to UArizona and externally to industry partners.
- Advocate to RII and campus leadership for resources to meet the research and scientific needs of the Users through the UCFs.
- Assist Operations Director in preparing the UCF Annual Report highlighting key accomplishments, evaluating UCF performance against annual goals (financial and other key impacts), including recommendations for subsequent years' capital and staffing investments as well as the acquiring/sunsetting of equipment and services.
- Contribute to annual Career Conversation review of Core Manager conducted by Operations Director.
- Chair, convene and manage FRAC meetings with input from FRAC members, Core Manager and other stakeholders. RII administrative staff will assist in scheduling the FRAC meetings and other administrative duties as necessary.
- Meet with UCF Core Manager regularly, and with Operations Director as needed, on operational matters which may impact the research and scholarly efforts related to the UCF.
- Represent UCF on the UCF Steering Committee that meets semi-annually with RII Leadership to discuss overall institutional strategy and review UCF Annual Report recommendations.

University Core Facility Managers (Core Managers)

Core Managers are professional, experienced individuals with the requisite scientific background, technical expertise, and administrative experience to oversee day-to-day UCF operations in a manner that enables and supports research by Users, in coordination with the Operations Director as needed. Some UCFs are co-managed in partnership with other UArizona units in which case there may be a separate Core Director who advances the scientific direction

of the UCF while the Core Manager oversees the operational management.
- Core Managers are appointed by, and report to, the Core Facilities Operations Director.
- Core Managers are reviewed annually by the Operations Director with input from the FRAC and other UCF stakeholders as appropriate.

Responsibilities
- Work in partnership with FRAC to guide the scientific direction of the UCF and advance research capabilities enabled by the UCF equipment, technologies, expertise, and services. If the FRAC is unable to complete their responsibilities in this partnership, the Core Manager and Operations Director have the authority to proceed with the strategic, administrative and operational decisions necessary to manage the UCF.
- Ensure the proper and safe functioning of the UCF and its equipment, technologies, expertise, and services. Responsible for equipment troubleshooting and performing or coordinating instrument maintenance, service and repair.
- Responsible for conducting or overseeing UCF services including User trainings, certifying Users to work independently, assisted use services, sample submission services, etc.
- Serves as Safety approval holder and responsible for establishing and monitoring compliance with safe operating procedures with the lab following University regulations. Works with RLSS and University safety committees to ensure compliance.
- Supervise the work and conduct of UCF staff, students and Users.
- Serve as arbiter between UCF and Users in matters of research misconduct (e.g. safety infractions, equipment damage, non-payment) and in coordination with Operations Director as appropriate.
- Collaborate with users on new experimental protocol/method development and data interpretation. Communicate (oral/written) results to Users, FRAC and scientific community when appropriate. Collaborates with Users and/or faculty on publications and grant applications when appropriate.
- Oversee and manage UCF budget and assets consistent with university business practices and in coordination with Operations Director and RII Business Center, including invoicing, inventory, procurement, and use rates.
- Initiate use rate setting process (new or revised) in partnership with the FRAC, Operations Director and RII Business Center then reviewed by UArizona Financial Services Office and approved by RII Leadership.
- Keep abreast of new developments in the field, updates skills, seeks/recommends supplemental training to advance knowledge and UCF capabilities.
- Coordinate training activities and professional development by staff, with the assistance of the FRAC, if needed.
- Coordinate User workshops as appropriate for the operation of the UCF, with assistance of the FRAC, if needed.
- Hire UCF technical staff with input from the FRAC and approval of Operations Director.
- Conduct annual Career Conversation review of UCF technical staff with input from the FRAC, and submit reviews to the Operations Director.
- Work with UCF technical staff, or with other UCF managers, with input from the FRAC

on cross training operations and service tasks to provide back-up support of UCF services.

- Establish relationships and undertake activities to increase UCF use by both university and external users.
- Develop, implement and maintain posted written standard operating procedures for use of the UCF equipment, technologies, expertise, and services, and ensures adherence to university policies and procedures, in partnership with the FRAC and Operations Director. This includes prioritization process and scheduling, method for tracking product and service usage, dispute and complaint resolution, etc.
- Record usage information on a quarterly basis to RII Business Center and/or the Operations Director.
- Work directly with RII Business Center staff on all issues involving facility finances including budgeting, billing, ordering, and personnel appointments/human resources and in coordination with Operations Director as appropriate.
- Prepare an annual business plan with performance goals in partnership with the FRAC, Operations Director and RII Business Center. This includes prioritization process and scheduling, method for tracking product and service usage, dispute and complaint resolution, etc.
- Assist Operations Director in preparing the UCF Annual Report highlighting key accomplishments, evaluating UCF performance against annual goals (financial and other key impacts), including recommendations for subsequent years' capital and staffing investments as well as the acquiring/sunsetting of equipment and services.
- Meet regularly with UCF staff to oversee and manage UCF operations.
- If the FRAC is unable to complete these responsibilities, the Core Manager and Operations Director have the authority to proceed with the strategic, administrative and operational decisions necessary to manage the UCF.

University Core Facility Operations Director (Operations Director)

The Operations Director oversees operational and budget management and coordinates governance of the entire UCF system toward achieving their research, educational, collaboration and sustainability objectives. The Operations Director is an experienced professional with a background in both management and administration of multiple core facility areas. This individual has an understanding of the business practices and regulations necessary for core facility operations and helps individual UCFs to balance scientific objectives and resource allocations across the UCF system to further the overall research goals of the University.

- Operations Director is appointed by and reports to RII leadership.
- Operations Director is reviewed annually by RII Leadership with input from Core Managers, FRAC Leads and other key UCF stakeholders as appropriate.

Responsibilities
- Supervise, support, and advise the work and conduct of Core Managers in the day-to-day operations of all UCFs.
- Coordinate integrated structure of stakeholders, including the FRAC membership and

appointment process in partnership with FRAC Leads and other UCF stakeholders.

- Develop, implement, and maintain strategic direction, business plans and policies to ensure sustainable operation of UCFs in partnership with Core Managers, FRACs and other UCF stakeholders.
- Maintain consistent prudent business practices, standard operating procedures, and policy compliance across the entire UCF system in collaboration with Core Managers, RII Business Center, and RII Leadership.
- Facilitate use rate setting process in partnership with Core Managers, FRACs and RII Business Center and forward use rate recommendations to RII Leadership for final approval.
- Facilitate and review proposals for internal and external funding to support strategic investment in the UCFs in coordination with FRACs, Core Managers, and RII Research Development Services to prevent duplication and redundancy and ensure alignment with the defined strategic research priorities.
- Serve as a liaison between Core Managers, FRACs and RII Leadership to advocate strategic direction and resources to achieve UCF goals and objectives including personnel, operations, and capital infrastructure.
- Assist Core Manager in resolving staff or User disputes.
- Hire Core Managers with input from the FRAC and approval of RII Leadership.
- Conduct annual Career Conversation review of Core Managers with input from the FRAC. Address performance issues as they arise with the Core Managers to resolve issues in a timely manner.
- Facilitate UCF annual review process including:
    - Compile UCF Annual Report highlighting key accomplishments, financial summary and other metrics of impact in coordination with UCF Core Managers, FRAC Leads, and RII Business Center. The report should summarize UCF performance, progress toward strategic goals and recommendations for operational improvements, future investments or the sunsetting of equipment, services and facilities. This report should be distributed to UCF stakeholders and RII Leadership and posted on the RII website.
    - Convene semi-annual meeting of the UCF Steering Committee (FRAC Leads, RII Leadership, and RPC representative) to discuss overall institutional strategy and review UCF Annual Report followed by the implementation of recommended actions.
- Identify pathways and opportunities for scientific and professional growth in UCF staff in coordination with RII Leadership.
- Develop marketing and communications strategy for UCFs in collaboration with Core Managers and RII Communications to promote research capabilities, advance efforts to expand user base, and develop internal and external partnerships.
- Advance continued efforts to partner with other ABOR universities to collaboratively support Arizona Core Network and counterparts at peer universities nationwide.
- Manage UCF space including inventory surveys, renovations and repairs in coordination with UA Facilities Management, RII Business Center, and RII Leadership.
- Meet regularly with Core Managers and staff to disseminate information, discuss

common facility issues, and solutions to shared problems.
- Meet regularly with all FRAC Leads to assess progress toward common and specific UCF strategic goals and performance metrics as part of the annual review process.

RII Business Center

RII Business Center is composed of qualified business personnel who provide financial and other business support to all UCFs as well as other RII units. This shared administrative model allows consistent and uniform access to business services personnel with a broad spectrum of expertise, while minimizing administrative costs to any single UCF. RII Business Center services include procurement, billing, budgeting, rate establishment/review, asset inventory, and personnel appointments.

Responsibilities
- Document the specific accounting and billing procedures for all UCFs.
- Invoice and bill Users for UCF services. Work with the Core Manager and Operations Director to resolve conflicts in billing.
- Monitor and communicate financial performance through the preparation of budgets and financial reports with input from Core Managers, Operations Director and RII Leadership.
- Review all UCF budgets and other funding allocations in coordination with Operations Director and RII Leadership.
- Ensure business practices are in compliance with university and federal policies and procedures for all UCF financial activities in coordination with Core Managers and Operations Director.
- Assist in procurement and maintain asset inventory for equipment and operations supplies for the UCFs.
- Conduct use rate studies in coordination with Core Managers, Operations Director and UArizona Financial Services Office.

RII Leadership

RII Leadership provides executive oversight of the entire UCF system including the overall research direction, support, operation, business, administration, and compliance. RII Leadership administration and oversight of UCFs is informed by a shared governance model of decision-making dependent on an integrated structure of stakeholders and an annual review process. In addition to executive leadership, the RII Leadership stakeholder group incorporates other RII units that indirectly support the UCF system including, Research Development Services, Employee Services, IT Services, and Communications.

Responsibilities
- Define overarching vision and strategic direction for UArizona research.
- Meet semi-annually with UCF Steering Committee to discuss overall institutional strategy and review UCF Annual Report recommendations.
- Review UCF system annually including meeting with Operations Director and FRAC

Leads to discuss overall institutional strategy and review UCF Annual Report summarizing UCF performance, progress toward strategic goals and recommendations for operational improvements, future investments in creating new, or the sunsetting of, equipment, services and facilities.
- Authorize final decisions regarding personnel, funding support (budgets, investments and subsidization), operational management and policy compliance as informed by recommendations of the integrated structure of UCF stakeholders and annual review process.
- Approve final use rates based on the recommendation forwarded from Operations Director.
- Hire Operations Director and conduct annual Career Conversation review with input from key UCF stakeholders.

Review Criteria

The establishment and continuity of UCFs is determined by a set of review criteria that translate the UCF purpose and objectives into measurable, key performance indicators (KPIs; see Appendix B for table of KPIs with explanatory notes).

Research
- Grants supported
- Peer-reviewed publications
- Grants awarded via Core Facilities Pilot Program

Education
- Training provided
- Workshops
- Student users
- Outreach to Arizona or scientific communities

Collaboration
- Diversity of departments/colleges represented
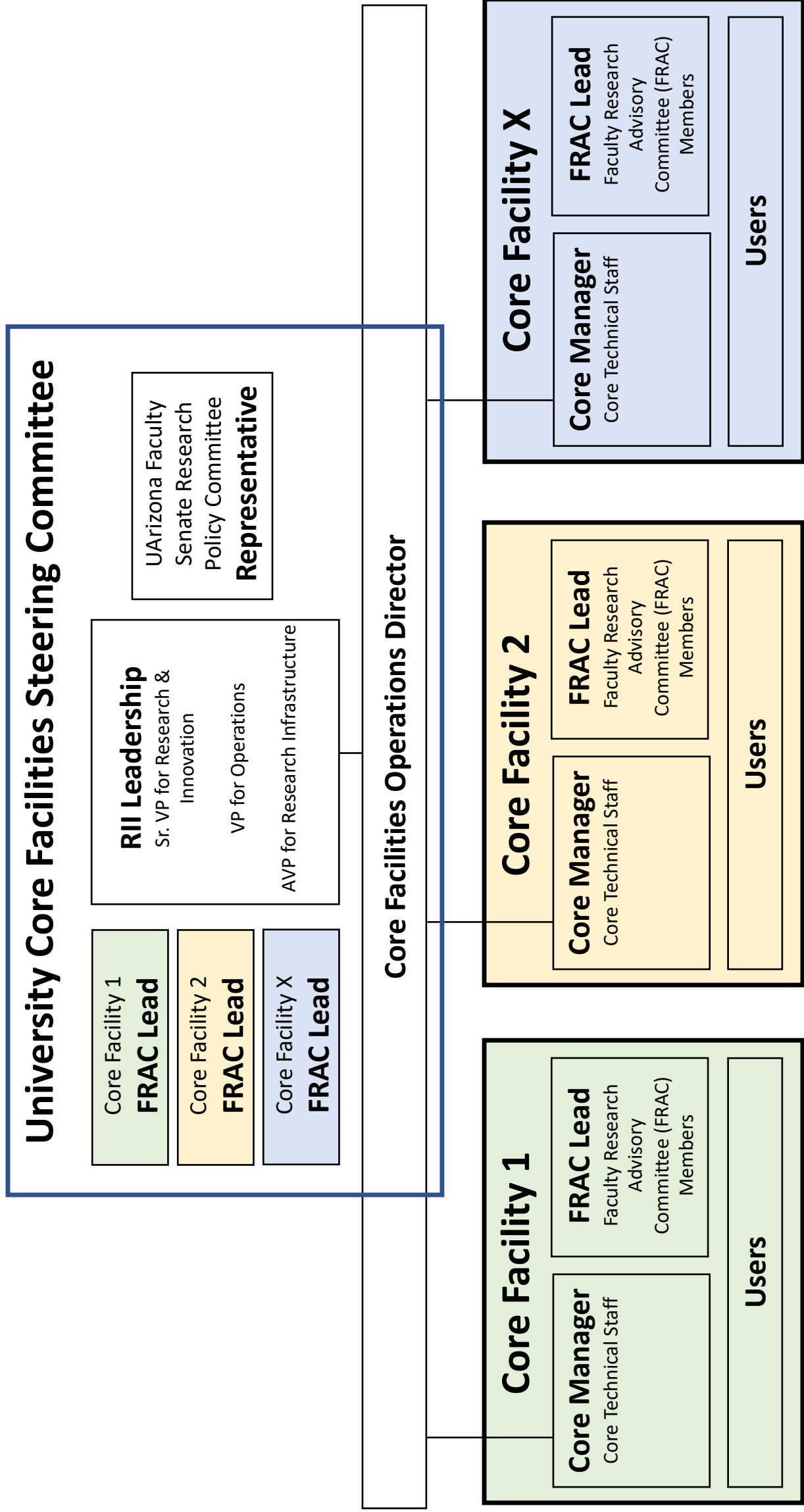- Other institutions/industry partners served

Sustainability
- Financial responsibility (institutional subsidy)
- Total users served (internal and external)
- Instrument activity (total usage per instrument/service)
- Proposals submitted/awarded for new equipment

Ideally, there will be a balanced portfolio of objectives/review criteria/KPIs for each UCF, but not all UCFs contribute equally to advancing the research enterprise. For some UCFs, certain objectives will be prioritized as determined by their long-term strategic plan and annual business plan.

These KPIs are reviewed annually in the creation of individual UCF business plans and in the annual reporting process. Establishment of a new UCF is initiated through a proposal process

to RII Leadership that provides evidence of potential performance success based on these review criteria. Continuity of a UCF is based on sustained performance success as measured by the review criteria and reported in the annual review process. If, after three consecutive annual reviews, the UCF has not successfully met their performance objectives, the Operations Director, FRAC Lead or RII Leadership may recommend the sunsetting of the UCF.

Appenidix A - UCF Integrated Stakeholder Structure

UNIVERSITY CORE FACILITIES
KEY PERFORMANCE INDICATORS (KPIs)
last updated November 2020

Priority Tier	Priority Objective	KPI Category	Optional Sub-categories	Units	Definition/Explanation
1	Research	Grants	Grants supported	number	All grants and contracts, whether federal, state, local, private or subcontracts thereof are housed within 3XX and 4XX accounts. A simple count of the number of 3 and 4 accounts used to pay for services will give us a reasonable count of the grants and contracts supported.
1	Research	Publications	Publications (refereed)	number	Count of publications during period. Can offer sub-sub-category to qualify at a later time.
2	Research	Grants	Core Facility Pilot Program	number	# of extramural grant proposals to be submitted with data generated
2	Research	Grants	Core Facility Pilot Program	number	# of new methods/protocols developed and offered to customer base as a whole
1	Education	Users	Training Provided	hours	Hours of training should be captured in iLab already as a subset of the usage. Number of "trainees" will be approximated using the "New Users" measure above.
2	Education	Grants	Core Facility Pilot Program	number	# of students to be trained
2	Education	Events	Workshops	number	# of workshops administered/taught and attendees
2	Education	Users	Student users	number	The strategic goals are substantially about students & training. You could go through the list of trainees each quarter and identify which are students for academic education.
2	Education	Events	Outreach to Arizona or scientific community	number	# of outreach events including K-12 or other communities (for reporting to granting agencies as broader impacts), national organization or providing a unique workshop.
1	Collaboration	Users	Departments/Colleges represented	number	Total number is fine. This may or may not be easy depending on how long it takes to get the Departments setup, and PIs associated with them in iLab. Also, each lab group can be associated with multiple departments, so we might end up with some double counting.
2	Collaboration	Users	Institutions served	number	Total number unique institutions. Possibly list of names on drill down.
2	Collaboration	Users	Industry partners served	number	Total number companies
1	Sustainability	Financial	Institutional subsidization	percentage	% of subsidization based on total expenditures and recharge revenue
1	Sustainability	Users	Total users served	number	Total number per period of time (e.g. each quarter) is fine. We can differentiate using the data from iLab, if necessary.
1	Sustainability	Users	External users served	number	Number of unique external users
1	Sustainability	Activity	Total usage per instrument/service	hours/units	Pull hours/units of usage from iLab per instrument/service
2	Sustainability	Grants	Shared Equipment proposals	Count & $ Requested	# of proposals submitted, amount requested and indication of whether funded.
2	Sustainability	Grants	Equipment Enhancement Fund	number	# of proposals submitted, with indication of whether funded