



Administration of Shared Research Facilities

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Initiator: Research Policy and Advisory Committee, Office of Research

Responsible Party: Vice Provost for Research

I. Purpose

This document addresses the use and administration of Shared Research Facilities at UWM. Although some institutional Shared Research Facilities already exist, this policy is being created in response to an increase in shared facilities and an increased emphasis on collaborative research. Specifically, there is a need for clear delineation of the administration of such Shared Research Facilities for ensuring effective use of such spaces and allowing for efficient and effective resolution of issues and conflicts that may arise between users.

II. Policy

1. Each Shared Research Facility shall have a designated Home Unit. The Home Unit will be responsible for administrative functions related to the Shared Research Facility including: designation of the Shared Research Facility Manager, space allocation, ensuring the provision of administrative support (administrative assistants, accounting, etc.) and technical support (IT), and approval of the financial management model. The Home Unit will also serve as the Space Assignment Authority for the facility.
2. The Home Unit administration will designate a Shared Research Facility Manager (SRFM). The SRFM will be a faculty or staff member directly involved with the use of the space or/and equipment. The SRFM will establish policies and procedures governing access to the space and equipment including specific training requirements (if any), scheduling, operational procedures, functional restrictions, etc., and conflict resolution mechanisms. These rules must be reviewed and approved by the Shared Research Facility Advisory Group (if established) and the administration of the Home Unit. The SRFM will be the primary supervisor for all support personnel assigned to the facility for 50% or more of their time unless otherwise agreed in writing. Supervisory responsibilities may be delegated as appropriate.
3. A Shared Research Facility Advisory Group (SRFAG) is recommended but not required. The role of the SRFAG is to review and recommend to the SRFM: 1) policies and procedures for the appropriate access, use and management of the SRF; 2) the financial management plan, and 3) performance of the Shared Research Facility in relation to its objectives. The SRFAG should meet at least annually.
4. A financial management plan should be developed that is consistent with UWM business and finance-related procedures and best cost accounting principles and practice and that ensures

compliance to state, federal, or other laws and regulations. The financial management plan should include user fees and sharing of costs among the participating Entities including, operating, maintenance of facilities and equipment, personnel, supplies, equipment replacement costs and sources of funding.

5. All records related to the facility must be retained in accordance with state Records Retention and Disposition Authorities and/or other state, federal or funding requirements.
6. The Office of Research will maintain a list of Shared Research Facilities.

III. Definitions

Shared Research Facility: A research facility that is formally shared by two or more UWM units. Shared Research Facilities may include research space, laboratories, computer resources, equipment, and collections. A Dean (for facilities shared within a School or College) or the Provost (for facilities shared across schools and colleges) designates Shared Research Facilities.

Home Unit: One unit designated by a Dean (for facilities within a School or College) or the Provost (for facilities shared across schools and colleges) as having primary responsibility for the administration of the Shared Research Facility. A Home Unit may be the Office of the Provost, a UWM school or college, department, or a collaborative research unit within UWM.

Shared Research Facility Manager (SRFM): The person designated by the Home Unit's administration as having oversight responsibility for the day-to-day administration and operation of the Shared Research Facility. The SRFM may delegate their duties as appropriate.

Shared Research Facility Advisory Group: A group appointed by the Home Unit that advises the SRFM about the administration and operation of the Shared Research Facility. Not all Shared Research Facilities will require an advisory group. The Dean or Provost is responsible for determining if an advisory group is appropriate. Members are nominated by the SFRM and/or the Office of Research and the other UWM units formally sharing the facility and should include (but are not limited to) the SRFM, technical staff that work in the Shared Research Facility, and regular Users of the Shared Research Facility.

User: a person (faculty, staff, student, other third party) who uses the Shared Research Facility.

IV. Financial Operations

Revenues for Shared Research Facilities may include operating budgets established and supported by the Home Unit, fees collected from users, and external awards and gifts. In general, user fees should support costs associated with the operation, maintenance and replacement of equipment. The budget for a shared research facility shall specify funding sources to support additional costs related to the Shared Research Facility (such as maintenance of the space, salaries for the SRFM, administrative staff, and technical staff).

Each of the following shall be created for all shared research facilities. The Office of Research will create and update guidelines to aid the SFRM in the development and implementation of these financial plans.

- a) The SRFM will develop an annual operating budget for approval by the administration of the Home Unit(s).
- b) The SRFM, in consultation with the Shared Research Facility Advisory Group, if any, and the Finance and Administrative Affairs Budget and Planning Office, will develop an annual schedule of user fees to be approved by the Home Unit.

V. Facility Operations

A. Facility Use for Instruction or Unfunded Pilot Studies

The use of a Shared Research Facility for instruction or unfunded pilot studies is permitted at the discretion of the SRFM.

- a) Requests for these purposes should be made far enough in advance to allow for providing access. Each Shared Research Facility should specify the required notice period. The SRFM is responsible for scheduling these requests.
- b) Usage fees for these purposes may be limited to the actual pro-rated maintenance costs of the space/equipment for the time such space/equipment is actively in use for instruction or unfunded pilot studies.
- c) The unit, center, department, school or college, or individual using the Shared Research Facility is responsible for payment of the user fees, unless the fees are waived by the SRFM.

B. Access to Facility

In general, all qualified UWM personnel should have access to any facility/space in the university if required for research or instructional purposes.

- a) All Shared Research Facilities shall have a written policy governing the access to the facility. The policies shall include, at a minimum, the time period for which access is granted, training requirements, including safety, which must be met before using the facility. Users must agree in writing to these policies and be approved by the SRFM or his/her designee before using the facility. The SRFM is responsible for maintaining records of any required training.
- b) A User's agreement to follow the policies of a Shared Research Facility does not ensure that actual use is guaranteed at any given time. Reasons for exclusion may include (but are not limited to): capacity issues, failure to provide the established fees or obtain a waiver, violation of the facility's policies, or lack of required safety training. Scheduling is at the discretion of the SRFM or their designee, but consideration will be given to sponsor deadlines.

C. Conflict Resolution

The SRFM, with approval of the Home Unit's Administration, shall develop procedures for handling conflicts regarding use of the equipment, space, or other matters. General guidelines are

provided below, but the actual procedure shall be specified for each facility and may differ from the general guidelines presented here.

- a) Conflict resolution procedures shall designate the personnel responsible for adjudicating the dispute, and the timeline for resolving disputes.
- b) Except in cases where the SRFM is one of the parties in the conflict, the first level at which a resolution should be attempted is the SRFM.
- c) If the conflict cannot be resolved by the SRFM, or the SRFM is one of the parties in the conflict, the administration of the Home Unit is the next level at which to seek resolution.
- d) If the conflict cannot be resolved by the Home Unit Administration, the Provost, or his designee, will work with the affected parties to achieve an acceptable resolution.
- e) If the conflict involves the Provost or another administrative division, the Chancellor, or his designee, will work with the affected parties to achieve an acceptable resolution.