

**PROCEDURE FOR POLICY 7.17 – Establishment, Governance and Review
of Institutional Core Research Facilities**

A. Establishment

A proposal to establish an Institutional Core Research Facility (ICRF) shall include the information required by Schedule A.

B. Renewal

A renewal application must be submitted to the Office of the Vice-President (Research) three months in advance of the end of the current term of the ICRF. To meet this deadline, ICRFs are advised to begin the review process at least six months prior to the end of the term. A proposal to renew an ICRF shall include the information required by Schedule B.

C. Administrative Responsibilities

The administrative responsibilities of an ICRF include, but are not limited to:

- a) Preparing an annual report. This report is submitted by the Director to the Advisory Board and details the status, progress and immediate plans of the ICRF. Following revision if required, the annual report should be shared with the Dean(s) and Associate Dean(s) Research from the affiliated Faculty(s) and the Vice-President (Research).
- b) Holding an annual meeting of the Advisory Board. This meeting will discuss the status, progress and immediate plans of the ICRF, with meeting notes recorded and included as an appendix in the annual report.
- c) Managing staff. The ICRF is expected to oversee and provide continuing training opportunities for staff that maintain the operational needs of the ICRF.
- d) Maintaining website. Each ICRF should maintain an up-to-date, University-branded website including services and pricing, contacts, and details of the research activities supported.

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- e) Performing education and outreach. Participate in educational activities, where appropriate, that benefit the University research community and broader community.
- f) Developing access model. ICRFs are expected to develop fair, equitable and transparent access models that balance the needs of their research communities. Pricing models are expected to incorporate sound budgeting and provide access to internal users at rates that reflect the subsidy provided by institutional support, with rates for external users reflecting the full cost of the services provided. ICRFs are also encouraged to develop guidelines that encourage users to pursue grants for shared equipment, which might include preferred access to that equipment or credits for services at the ICRF.

SCHEDULE A

1. Purpose and Function

- a) Name of the proposed ICRF.
- b) Link to the website.
- c) List of equipment and/or services provided.
- d) Faculties/Departments/Schools or external institutions directly involved in operations (provide documentation indicating support for the ICRF proposal from each unit, as appropriate).
- e) Rationale and justification; potential for impact as it relates to research and, where applicable, teaching, training, and EDI; alignment with the University's strategic research priorities; and anticipated benefits such as financial savings through economies of scale and reduced duplication of services within the University.
- f) Primary objectives, anticipated outcomes, and Key Performance Indicators (KPI) that will be used to measure progress towards those objectives as appropriate for the scope and mandate of the proposed ICRF. Include current KPI benchmarks along with targets.

2. Governance, Administration and Organizational Relationships

- a) Name, affiliation and qualifications of the proposed Director or the plan to identify a Director.

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- b) Description and membership of the Advisory Board. Include proposed membership if the Advisory Board is not yet established.

3. Students and Training

- a) Level and type of involvement of undergraduate students, graduate students and postdoctoral associates.
- b) Contribution to training and instructional programs.

4. Physical Requirements

- a) Space requirements at Western: (i) at start-up; (ii) within five years.
- b) Space requirements at other institutions or locations as appropriate (provide documentation of any arrangements in place to secure such space).
- c) Requests for customized supports from university services such as library, security, computing, purchasing, accounting, human resources and payroll.

5. Staffing Requirements

- a) Requirements for administrative, and/or technical personnel support from the University, including descriptions of the expected requirements from supporting units (e.g. Animal Care and Veterinary Services).
- b) Details of all proposed support staffing arrangements, as follows: For each support staff member, indicate: i) proposed source of budget (e.g. University, Faculty, ICRF); ii) role or duties.

6. Business Model and Sustainability

- a) Provide a five-year budget plan. Summary of funding sources, including projected fee-for-service revenue and associated rate cards for internal and external users, in-kind support requested from Faculties/Schools/Departments, central administration of the University, or external sources. In the case of financial/in-kind support from external institutions, provide evidence that necessary agreements

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between the University and the external institution are in place or have been submitted for approval and attach a copy of the agreement or proposed agreement.

- b) Where available, a 5-year summary of past financial performance.
- c) Estimated total budget of the proposed ICRF (at start-up and for the first five years of operation).
- d) Anticipated remaining useful life for major equipment, as well as the estimated expenses and source of funds for decommissioning that equipment (e.g. reserved from user fees).
- e) Any proposed deviations from the standard rate and distribution of overhead on contract research as set out in MAPP 7.7 shall be detailed within the context of the overall budget plan.

7. Intellectual Property and Commercialization

- a) Details of proposed arrangements relating to the ownership and/or commercialization of intellectual property created through work undertaken at the proposed ICRF, including a statement recognizing the requirement to follow all guidelines set out by MAPP 7.16, the UWOFAs Collective Agreement, and the Postdoctoral Associates Collective Agreement.
- b) Details of proposed arrangements for the conduct of private sector contract research (subject to individual negotiation).

SCHEDULE B

1. Purposes and Function

- a) Name of the ICRF.
- b) Link to the website.
- c) List of equipment and/or services provided.
- d) Faculties/Departments/School or external institutions directly involved in operations (provide documentation indicating support for the ICRF renewal from each unit, as appropriate).
- e) Rationale and justification; potential for impact as it relates to research and, where applicable, teaching, training, and EDI; alignment with the University's strategic research priorities; and anticipated benefits such as financial savings through economies of scale and reduced duplication of services within the University.
- f) Primary objectives, anticipated outcomes, and Key Performance Indicators (KPI) that will be used to measure progress towards those objectives. Include current KPI benchmarks along with targets.
- g) Report on activities since formation or the previous renewal and progress towards objectives (as above) including:
 - i. Progress towards primary objectives, anticipated outcomes and KPI identified for the previous term.
 - ii. Overview/highlights of research productivity.
 - iii. Evidence of impact at the regional, national or international level including details about the organizations, groups and institutions involved.
 - iv. External grant applications and awards in support of the ICRF.
 - v. Overview/highlights of other activities.
 - vi. Feedback / survey responses from ICRF users.

2. Governance, Administration and Organizational Relationships

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- a) Name, affiliation and qualifications of the Director.
- b) Description and membership of the Advisory Board.

3. Students and Training

- a) Level and type of involvement of undergraduate students, graduate students and postdoctoral associates.
- b) Contribution to training and instructional programs.

4. Physical Requirements

- a) Space requirements at Western: (i) current; (ii) within five years.
- b) Space requirements at other institutions or locations as appropriate (provide documentation of any arrangements in place to secure such space).
- c) Requests for customized supports from university services such as library, security, computing, purchasing, accounting, human resources and payroll.

5. Staffing Requirements

- a) Requirements for administrative, and/or technical personnel support from the University, including descriptions of the expected requirements from supporting units (e.g. Animal Care and Veterinary Services).
- b) Details of all proposed support staffing arrangements, as follows: For each support staff member, indicate: i) proposed source of budget (e.g. University, Faculty, ICRF); ii) role or duties.

6. Business Model and Sustainability

- a) Provide a five-year budget plan. Summary of funding sources, including projected fee-for-service revenue and associated rate cards for internal and external users, in-kind support requested from Faculties/Schools/Departments, central administration of the University, or external sources. In the case of financial/in-kind support from external institutions, provide evidence that necessary agreements

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between the University and the external institution are in place or have been submitted for approval and attach a copy of the agreement or proposed agreement.

- b) Total budget of the ICRF (over the previous term and expected for the next five years of operation).
- c) Anticipated remaining useful life for major equipment, as well as the estimated expenses and source of funds for decommissioning that equipment (e.g. reserved from user fees).
- d) Any proposed deviations from the standard rate and distribution of overhead on contract research as set out in MAPP 7.7 shall be detailed within the context of the overall budget plan.

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- a) Details of arrangements relating to the ownership and/or commercialization of intellectual property created through work undertaken at the ICRF, including a statement recognizing the requirement to follow all guidelines set out by MAPP 7.16, the UWOFA Collective Agreement, and the Postdoctoral Associates Collective Agreement.
- b) Details of arrangements for the conduct of private sector contract research.