

Service Centers Rules of Engagement

Established by the Senior Associate Dean for Research of the Stanford University School of Medicine

INTRODUCTION AND DEFINITIONS

These rules of engagement apply only to service centers as defined below. Service Centers are important shared resource entities, supporting Stanford's academic mission by providing access of **investigators to instruments, advanced technologies, services, and expert consultation**, and a home for development of technical innovations.

Service Centers:

1. Provide services and instrumentation access that is **available to all researchers on campus**. (Training and verification of proficiency may be required to operate some instrumentation.)
2. Operate in dedicated space with separate staff and equipment.
3. Users are charged on a fee-for-service basis following University and Office of Naval Research Policies, and thus year-end balance carry-forward may not exceed +/-15% of costs.
4. May have paying users external to Stanford (subject to approval by Tax Compliance, Research Administration Policy and Compliance, Property Management, Risk Management, and the Senior Associate Dean for Research of the School of Medicine (SoM SAD Research)).

Cores (as distinct from Service Centers):

1. Is a generic term often used to describe entities that exist to provide access to equipment or services of a generally restricted group of faculty, frequently departmentally or divisionally based.
2. Paid for by more than one PI.

COMPOSITION AND MISSION OF THE SERVICE CENTER ADVISORY BOARD (SCAB)

1. To provide advice, including approval or disapproval, to the SoM SAD Research about the establishment, operation, reorganization, and closing of SoM Service Centers.
2. Comprised of at least ten faculty members who are appointed by, and serve at the pleasure of, the SoM SAD Research. In addition to these faculty, other members of the University community may be appointed to the board. The Senior Associate Deans for Research and for Finance and Administration are *Ex officio* members.
3. The SCAB shall meet at least once per year.
4. Cores, as defined above, that duplicate services that are readily available in service centers can create unnecessary competition, reduce overall efficient use of space and other resources, reduce the number of users for established Service Centers, precipitate Service Center

failures through fee increases, and ultimately shift the demand for services to Cores that are ill equipped to handle the volume. We discourage the establishment and operation of cores that unnecessarily provide for services that are otherwise readily available within well-functioning existing Service Centers or effective commercial services. However, the SCAB does not review or approve the creation, operation, or closing of Cores, but is happy to offer advice and guidance on these issues if requested.

SERVICE CENTER CREATION

The following are the conditions under which Service Centers may be created:

1. A technological innovation or service is needed by a number of faculty but is currently unavailable on campus and, when applicable, there are compelling reasons (such as affordability, access, technical expertise, etc.) not to use a commercial provider.
2. The new service or instrument does not logically fit into an existing service center or an existing center is unwilling or unable to provide access to that instrumentation or service.
3. There are an adequate number of potential users to support the operation of a service center.
4. Approval by the SoM SAD Research (upon the advice of the SCAB) is required prior to the establishment of a new Service Center.

APPLICATION FOR A NEW SERVICE CENTER

Applications to the SCAB should be coordinated through School of Medicine Service Centers and Special Projects Manager. The application to the SCAB should have the following information:

1. A detailed description of the expected scope of the proposed facility, including the deliverables for the proposed services and/or extent of assistance with equipment (including what types of training are envisioned). Examples of the deliverables are encouraged (data report, etc).
2. A discussion of whether a similar Service Center is already in operation or the technology is otherwise available, and if so, why the applicant service center is different/necessary. This explanation should include a quality and price comparison of internal service/s to be provided vs. external service/s available, if applicable.
3. A five-year projected budget together with a strategic plan supported by a relevant Department Chair/ Institute Director and DFA.
4. A discussion of the split between technology development and routine service in the Center – technology development may be eligible for separate funding (see #4 under Service Center Operation below).
5. A list of initial users and supporting documents.
6. Space requirements for the Center (short and long term), space costs and who will pay those costs (see space policy below).
7. Accessibility to the Center for SU faculty members and plan to communicate with the SU research community.
8. Anticipated service pricing rates based on a preliminary Rate Package.

9. Management/Org chart of the Center that includes:
 - a. Director
 - b. A Faculty Steering committee, made up of at least three relevant faculty members from at least two departments, that meets yearly to assess programs, budgets, and future plans. A written summary of this meeting shall be submitted to the Senior Director, Discovery & Technological Service Centers (see Appendix 2).

CORE AND SERVICE CENTER SPACE POLICY

1. Space Coding:

A Service Center's space must be correctly classified in the Facilities *ispace* system as to department/institute/center (organization entity) ownership and number and type of square feet. A separate org code is to be assigned to a new Service Center, and the facility square footage is to be coded to the related org code. As soon as a new facility is up and running, consultation with the appropriate space coordinator is required to ensure that proper space coding occurs.

2. Space Ownership:

The SoM Office of Facilities Planning and Management must approve the space ownership of the new Service Center prior to approval by the SCAB.

SERVICE CENTER OPERATION

The following are the guidelines for the operation of the service centers:

1. Faculty Advisory Committee Oversight: (see item 9b under Application for a new Service Center above).
2. Fiscal Reporting:

The Service Centers Fiscal Affairs staff (see Appendix 1) will produce, with the assistance of Service Center management, performance reports throughout the year as requested by upper management for all SoM service centers. Reporting will include fiscal year end performance, budgeting, forecasting, variance explanation, reports requested by the Dean's Budgeting and Planning group, and special reports requested by the Director, Service Centers and Enabling Technologies or Senior Director, Discovery & Technological Service Centers. Problems will be referred for consideration to the Senior Director, Discovery & Technological Service Centers, the Director, Service Centers and Enabling Technologies, the SoM AD Research, SoM SAD Research, and the SCAB as needed.

3. Underperformance:

Service centers with a persistent deficit will be requested to provide a corrective action plan prepared by the Service Center director and signed off by the Service Center's Faculty Advisory

Committee. The corrective action plan would need to address some or all of the following approaches to correct future deficits:

- a. Volume and service increases.
- b. Grant applications.
- c. Price increases.
- d. Alternative sources for funding.
- e. Cost reductions, including “downsizing” of services, staff or both.
- f. Consolidation with another service center.
- g. Deficit carry forward (to permit time for other measures).

In addition, justification for the continued operation of the Service Center should be provided and can include material similar to what is provided in a “Application for New Service Center”.

4. Funding for technology development:

To obtain support from the Dean’s Office to facilitate innovative technology development, the Service Center must submit a separate plan and request for funds prior to the beginning of each fiscal year during the budgeting process (The Service Centers Fiscal Affairs staff can provide the necessary format). Funds will be allocated based on merit, past performance and availability.

5. Preapproval for large instrumentation purchases:

All acquisition (both purchases and acceptance of donations) of large pieces of instrumentation (total cost >\$50,000) will require prior approval from the SoM Director of Service Centers and Enabling Technologies. This will ensure that any duplication of instrumentation function (either within a Center or between Centers) is well-justified. If there is the potential for a requested instrument to functionally duplicate an instrument in another Center, the Sr. Director, Discovery and Technological Service Centers shall consult with the other Center(s) to determine the advisability of this action prior to approval of the request.

SERVICE CENTER CLOSURE

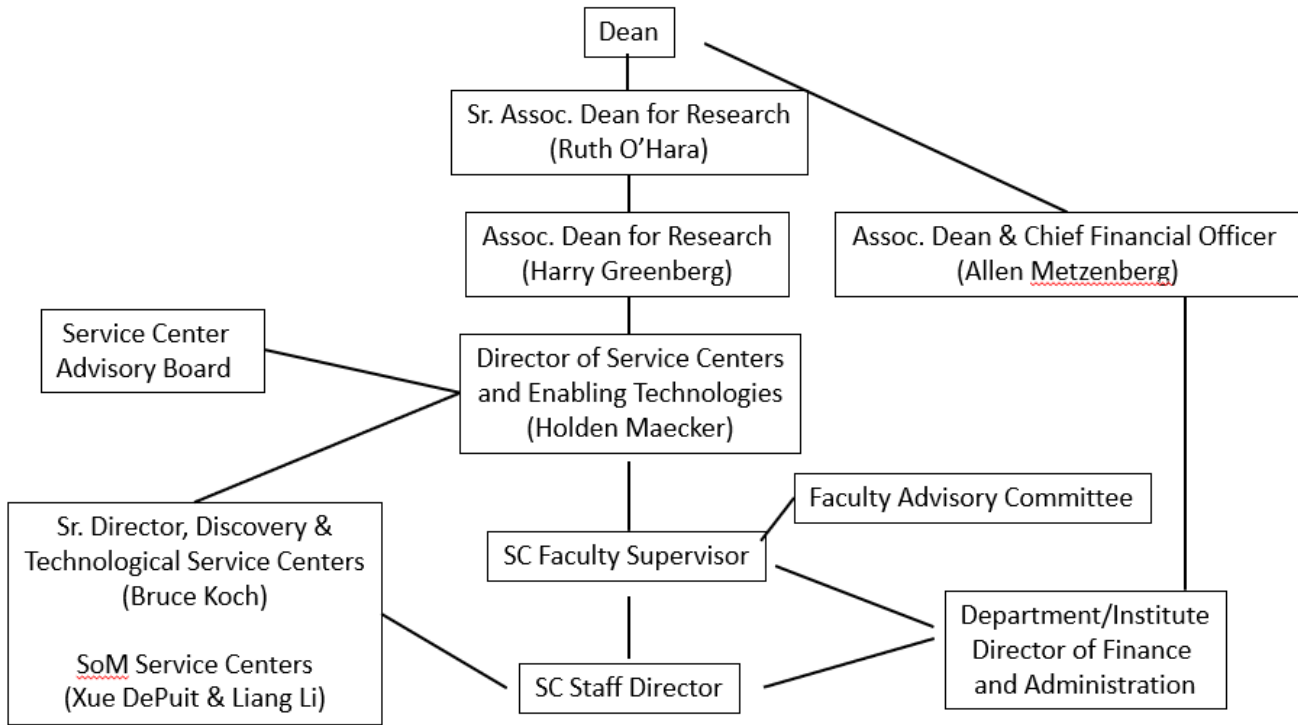
Consideration for closure of a Service Center will be triggered by one or more of the following:

1. Failure to meet corrective action plan after:
 - a. Persistent deficit (inclusive of all revenue sources) is accrued for 3 quarters after the correction plan has been put in place.
 - b. One year’s time allowed for correction has passed.
2. Decline in the value of the center for the academic mission of the university, as indicated by a
 - a. decline in the number of users/income over three subsequent quarters, as compared with the past two years average
 - b. lack of development of new technologies and availability of offered technologies in the commercial sector.
3. Space and money constraints as identified by the Dean’s Office.

The SoM SAD Research will close a Service Center after review of the facility with its Director, the SCAB and other members of the Dean’s office as necessary.

Appendix 1:

SoM Service Center Reporting Relationships



Appendix 2

There shall be a written detailed summary of the yearly meeting of each Core/ Service Center Faculty Advisory Committee. The meeting, and the written summary, should address the following issues:

1. For each technology/service/instrument type supplied by a Service Center; how does it fit one or more of these descriptions:
 - a. Cutting-edge technology found only within major research universities
 - b. Required to be physically located in the vicinity of Stanford researcher's labs
 - c. Lower cost than commercially available alternatives (taking into account the Total Cost to the researcher)
2. For each technology/service/instrument type supplied by a Service Center, where is it on the technological innovation timeline?:
 - a. Initial development
 - b. Acceptance in cutting-edge specialist laboratories
 - c. Gaining wider acceptance
 - d. Wide acceptance, but still state-of-the-art
 - e. Highly useful, not commercially accessible in a useful way, but generally considered a routine scientific tool/service
 - f. Slowly being replaced by a new technology
 - g. Past its prime
3. Is there a disruptive technology with the potential to displace the facilities' technology in the next 3-5 years?
4. Does this facility meet the needs of the Faculty in the area supported?