

## Shared Use of Equipment Purchased with UNM HSC Funds

<b>Title:</b> Addendum to Policy for Shared Use of Equipment Purchased with UNM HSC Funds		
<b>Doc Type:</b> Guidance	<b>Policy #:</b> R.03.001.G	<b>Effective Date:</b> 04/01/2015
<b>Owner(s) (Name and Title):</b> Richard S. Larson, MD, PhD Vice Chancellor for Research	<b>Revision Date:</b> New Policy	<b>Applies To:</b> All research equipment purchased with UNM HSC funds, regardless of provenience

### Section 4): Repairs and Maintenance

For all parts of the Shared Equipment acquisition process, it is important to remember that the UNM HSC Funds are federal dollars and, per federal regulations, other federal funds from grants and contracts **cannot** be used as matching funds for any element of the equipment purchase. In Section 4, the HSC policy for shared equipment purchased with institutional funds includes the need to address repairs and maintenance in the original request. This is the responsibility of the primary recipient of the funds used to purchase institutional equipment and is important to preserve the resource and investment. The primary recipient is responsible for establishing a sustainable plan with their department, set of users, or the equivalent for maintenance of institutional equipment. This includes planning for service contracts and other maintenance costs. Typically, these will be covered through a joint agreement of users. Planning for the repair and maintenance of shared equipment is part of the request process and will include some of the following items as appropriate:

1. Brief written analysis of expected equipment reliability and any operational maintenance costs to be included as part of the acquisition process. Examples include statements of recommended or required preventive maintenance, calibration, or inspection schedules.
2. Estimate of the impact of equipment downtime or unavailability on users and research programs.
3. Estimated annual and recurring costs to maintain function of the equipment within specifications or standards. Consideration should be given to planned and unplanned maintenance.
4. A written agreement with users, programs or departments covering how responsibility for damage will be assigned and how repair costs will be assessed.
5. Each primary recipient or department responsible for the shared equipment should include a specific plan for covering maintenance and repair costs. Components of this contingency plan may include:
  - a. Identification of primary point of contact for scheduling use of the equipment, oversight of training needs for proper use, and scheduling of required maintenance or repair activities. A tracking record of preventive maintenance should be kept.
  - b. Establishment of a repair and maintenance fund by assessing usage fees to users.
  - c. Department index for collecting user fees and required contributions to a maintenance and repair fund.
  - d. Agreement among users or departments to divide unexpected repair or maintenance costs between the principal users. Can be prorated based on utilization logs.



- e. Plan for adding new users to the pooled maintenance fund and deal with users who leave or stop using the equipment.
- f. Purchase of a service contract from the manufacturer or vendor. This can be included in the request for funds to purchase the equipment and is encouraged.
- g. Purchase of equipment warranties or extended warranty coverage.
- h. Estimates of life expectancy of equipment and need for future upgrades to the equipment and associated costs. These may be included in the initial funding request.

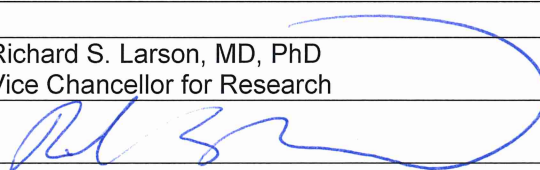
#### 6. Facility Options:

**Option A: Incorporation into an existing facility.** In this case the equipment is incorporated into an existing facility. The core facility would bill investigators for use of the equipment, which would provide additional revenues to the facility. Total facility revenues would be used for maintenance and repair costs for the shared equipment along with other instruments in the facility.

**Option B: Formation of a new shared facility.** In this case, the recipient PI or department would form a new shared facility. Space for siting the equipment would need to be identified in addition to a framework for access authorization, scheduling, usage costs, technical support if needed, and a maintenance and repair plan. Discussions with the Vice-Chancellor for Research are recommended in advance of the request for funds.

**Option C: Sited in a faculty laboratory or departmental space.** In this case the equipment would be sited in an existing laboratory or department space. As a shared resource, the space and equipment would have to be available during normal business hours to any HSC faculty member needing access for their research. In order to make sure that all users contribute to repairs and maintenance, we strongly encourage that users be asked for an annual contribution to be placed in a residual account to cover these costs. These accounts may be maintained in a department or the Office of Research. When the equipment is surplus or a decision is made to stop supporting maintenance, unspent funds will be returned to users who contributed. All users should be asked for contributions based on utilization of the equipment.

#### DOCUMENT APPROVAL & TRACKING

Item	Contact	Date	Approval
Owner	Vice Chancellor for Research		
Consultant(s)	N/A		
Recommender(s)			[Y or N/A]
Committee(s)	RSPC		[Y or N/A]
HSC Legal Office			[Y or N/A]
Official Approver	Richard S. Larson, MD, PhD Vice Chancellor for Research		Yes
Official Approver Signature		Date: 5/11/15	
2nd Approver			
2nd Approver Signature (Optional)		Date:	
Policy Origination Date: 04/01/2015			