

# Research Service Center Operating Plan Form

## Instructions

UPDATED | 7/19/2023

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The following numbered sections correspond to each numbered section in the Operating Plan Form. Click on the section title below to navigate to that section. Screenshots of the Operating Plan Form and references to form questions are provided for each section.

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The Research Service Center Operating Plan Form must be completed with each rate review. This form is used to document general information about a core facility's services, rates, customer base, location, personnel, equipment, maintenance contracts, and subsidies. It is required as a supplement to the Rate Development Worksheet. The Operating Plan Form may be found in the "Resources" section under "Forms" [here](#).

### 1. General Information

- Please use the official RSC name.
- Use the unique recharge CFS for that RSC. If you do not know the recharge CFS, departmental accounting staff will be able to provide it.
- A brief summary (two to three sentences) for each rate description will suffice.

#### 1. General Information

Research Service Center Name: <input type="text"/>						
<div>a</div> <div>b</div> <div>c</div>		Fund	Source	Department	Program	Cost Code
	RSC Chartfield String:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	School:	<input type="text"/>		Division:	<input type="text"/>	
	Department Name:	<input type="text"/>		Department No.:	<input type="text"/>	
Provide or attach a brief description of the service center's activities, including any information which you consider unique or significant in understanding the proposed billing rate(s).		<input type="text"/>				

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### 2. Request Information

- a. Please select the purpose of this rate review (*select all that apply*).

**Note:** "OSP request to review an existing RSC" refers to the scheduled routine rate review.

#### 2. Request Information

a

The purpose of this Research Service Center (RSC) operating plan proposal is to:

- ☐ Establish a new RSC and request a new Chartfield String
- ☐ Add an existing fee
- ☐ Modify an existing fee
- ☐ Delete an existing fee
- ☐ Academic department request to review an existing RSC
- ☐ Office of Sponsored Programs (OSP) request to review an existing RSC

☒ Other:

Specify:

### 3. Contact Information

- a. Please ensure that Dept. Business Administrator, Research Service Center Director, Division Chief (as applicable), and Department Chair are provided.

#### 3. Contact Information

a

Dept. Business Administrator:

Research Service Center Director (oversees daily activity):

Name:

Name:

Title:

Title:

Phone:

Phone:

Email:

Email:

Campus Box:

Campus Box:

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### 4. RSC Room Use Information

- Please include all locations and rooms utilized (*whether partially or fully*) by the RSC.
- Please provide other uses for any room used less than 100% by the RSC, select all that apply.

#### 4. RSC Room Use Information:

A. RSC location (attach floor plan(s), and additional sheets if more space is needed):

Building Name:					Building No.:		
Room Numbers:							
Room Sq. Ft.:							
% used by RSC:							

B. Identify all other uses for any room used less than 100% by the RSC:

- ☐ Office
- ☐ Administration
- ☐ Sponsored Research
- ☐ Non-Sponsored Research
- ☐ Instruction
- ☐ Storage
- ☐ Other

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### 5. User Information, Monitoring, and Rate Development

User Information Chart (screenshot below):

This section captures information about customers of the RSC and the rates to be charged.

- “Fund Source to be Charged” – This chart is used to capture the percentages of RSC customer representation. Columns represent the source of funding customers use to pay for RSC services. Rows represent whether the customer is internal to UNC (within or outside of the RSC department) or external to UNC. Historical RSC usage, if available, should be used alongside forecasted changes to estimate user amounts.
- “Internal to University” - customers within UNC
- “Intra Dept” - customers within the home department of the RSC
- “Inter Dept” - customers within UNC but outside of the home department of the RSC
- “External to University” - to all customers outside of UNC
- “Total % of Service” row – total for each column (does not need to equal 100%)
- “Total % of Service” column – total for each row (does not need to equal 100%)
- Fund Source
  - Federal: Includes all federally sponsored awards/projects. Example NIH/NCI grant funds; Federal prime award through pass-through entity.
  - State: State funded grants, including UCRF.
- Dept Trust/OH: Commitment funds, overhead funds, and other foundation funds. Example – UNC Health Foundation funds
- Other: Funding used by external customers. Example - external pharma customer

#### 5. User Information, Monitoring and Rate Development

	Fund Source to be charged				Total % of Service
	Federal %	State %	Dept. Trust/OH %	Other %	
Internal to University:					
Intra Dept. (within dept.):					
Inter Dept. (other dept.):					
External to University:					
Total % of Service:					

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- a. Unit of measure – this is the type of billing unit to be provided to customers for each rate. Examples include per sample, per hour, per report, etc. Each RSC rate will have a designated unit of measure (corresponds to row 36 of RDW tab “ReOp1-Main Worksheet”). For example, rate 1 may be calculated per sample; rate 2 may be calculated per hour, rate 3 may be calculated per report, etc.
- b. Billing rates should be based on current actual and estimated projected costs incurred to provide services. If “no” is selected, please provide information on how billing rates were determined.

A. List the unit of measure for each billing rate (hour, day, procedure, mileage, etc.) **a** and discuss how the proposed annual operating level for each fee is determined.

B. Are billing rates based on a combination of current actual costs and projected cost estimates based upon historical cost experience? ☐ Yes ☒ No **b**

Please discuss the nature of cost assumptions and other cost factors used in determining billing rates:

- c. Are these services available outside of the University? If yes, please provide a list of institutions/companies that offer similar services and provide a comparison of the RSC’s External Minimum rates to the external entities’ rates.
- d. Please provide more information if the RSC plans to charge to external customers a rate higher than the minimum external rate. For example, the RSC may opt to charge external customers a market rate higher than the minimum external rate. If the RSC chooses to charge a market rate, please provide a justification for charging this amount.

C. Are these services available outside the University? ☒ Yes ☐ No **c**

If yes, please list the major providers and describe how the service center’s rates compare.

If yes, please list the major providers and describe how the service center’s rates compare.

D. External customers include UNC Hospitals, UNC System Office, and its other constituent institutions, all other institutions of higher education, state and local governments, non-profit, and commercial organizations. The minimum unit charge to external customers should be the approved internal fee plus the federal negotiated-on-campus-organized-research rate in effect when services are rendered. Please explain if proposed external rates are above this minimum guideline. **d**

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- e. Prepaid supplies are items purchased in bulk to be used by the RSC over time to complete services. If the RSC plans to keep prepaid supplies on hand, please answer “yes” and provide more information.
- f. This references invoices that have been sent to customers but not yet paid to the RSC by the customers. (*Otherwise known as Accounts Receivable.*) This information is available via the RSC’s billing platform (*iLab, Infoporte*).
- g. This references expenses that have been invoiced to the RSC/UNC by the vendor but not yet paid by the RSC. (*Otherwise known as Accounts Payable.*) This information can be provided by departmental accounting staff.

E. In operating this research service center, are you required to keep prepaid supplies on hand? ☒ Yes ☐ No e

If yes, discuss the supply item(s) that are essential to keep on hand and provide the approximate average number of months' supply you expect to keep available and the estimated amount of the supplies on hand. f

F. Please list the total dollar amount of sales where the invoices have been sent but the payment has not been received. g

G. Please list the total dollar amount of expenses due where the invoice has been received but not yet paid.

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### 6. Financial Support/Assistance

- a. Select “Yes” if the RSC will fully recover costs via RSC activities and fees (*for example- without a financial subsidy to cover deficits*).

Select “No” if a subsidy is provided as financial assistance (*for example, a non-RSC source has provided funds toward the purchase of a piece of equipment*). If “No” is selected, provide information below as applicable:

1. Start-up (*seed*) money: These are funds provided prior to core startup to help with space upfit, equipment purchases, initial salary support.
2. Ongoing non-sponsored support: These are non-grant funds that are provided to the core to support their ramp up, ongoing growth, or support large infrastructure costs. These would be funds such as state, UCRF, Trust, or Med foundation.
3. Program project: These are single sponsored awards that support many sponsored projects. Examples may include U-award mechanisms or other awards that have subaccounts.
4. Center support grant: These are larger infrastructure or core grants, such as P30 awards. They are usually 5-7 years per award year and may support personnel and/or service agreement costs. Be prepared to provide award document indicating RSC is included in the budget.
5. Other sources of support

### 6. Financial Support/Assistance

A. Are service center costs totally recovered through its fee revenue? ☐ Yes ☒ No a

- ☐ 1. Start-up (*seed*) money: funds made available in the initial operational phase that support costs associated with start-up/set-up of operations. Please complete the information below:
- ☐ 2. Ongoing Non-sponsored support: use of funds from a non-sponsored source that provides ongoing support to integral components of the service centers annual operating cost. Please complete the information below:
- ☐ 3. Program project: a single sponsored award that supports multiple sponsored projects and related activities. Please complete the information below:
- ☐ 4. Center support grant: similar to program projects, center support grants are used to support a research center or research institute. Please complete the information below:
- ☐ 5. Other sources of support:

How will the service center recover the financial assistance listed above after the funding period has expired or terminated?



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- b. This refers to RSC users who receive discounted rates not available to all UNC users. If yes: Please provide more information on who members are, how they will be identified, and which services will be provided at member rates. The chartfield string providing the member subsidy is also required.
- c. This CFS will be responsible for covering any deficits. Deficits may result from a variety of factors, including but not limited to decreased customer volume, increased expenses, or the use of discounted member rates. If the RSC ceases operations and closes and a deficit exists, this CFS will be used to cover that deficit. This CFS may be different than the subsidy CFS. Sponsored projects cannot be used to cover deficits.

B. Are certain users provided services at discounted rates or free of charge? ☒ Yes ☐ No b

1. If yes, please provide the information below. Indicate which services and which user groups receive free or discounted rate(s) and discuss the reason(s) and circumstances under which discounted rates are extended.

Please provide the Chartfield string that will be charged for the discount resulting from the subsidy:

Fund	Source	Department	Program	Cost Code

C. Please list the Chartfield String(s) that will be responsible for covering operating shortfalls: c

Fund	Source	Department	Program	Cost Code



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### 7. Capital Equipment and Maintenance Contracts

- If "Yes", please ensure equipment information is provided on the Rate Development Worksheet tab "ReOp6 – Equipment Depreciation". This information should be provided for all equipment utilized by the RSC, regardless of the funding source used to purchase the equipment.
- If "Yes", please ensure that equipment maintenance contract information is provided on the Rate Development Worksheet tab "ReOp4 – Maintenance Contract". If "No", and the contract was purchased with non-RSC funds, please include the contract information on tab "ReOp4 – Maintenance Contract", but do not allocate the expense to any RSC rates.

#### 7. Capital Equipment and Maintenance Contracts

A. Capital equipment (equipment) is tangible nonexpendable personal property that has a useful life of more than 1 year and an acquisition cost that equals or exceeds \$5,000. Accounting for equipment is administered via the University's Asset Management System. Does the research service center use any capital equipment in the production of goods or services? ☒ Yes ☐ No **a**

**Please complete the ReOp6 - Equipment Depreciation tab of the Rate Development Worksheet**

B. Does the service center intend to recover the cost of equipment maintenance or service contracts? ☒ Yes ☐ No **b**

**Please complete the ReOp4 - Maintenance Contract tab of the Rate Development Worksheet**

### 8. Signatures

- Electronic signatures are required.

#### 8. Signatures

This form **MUST** be signed where noted below or it will not be accepted. **a**

Research Service Center Director:

Name:

Title:

Date:

Form Preparer:

Name:

Date:

Email:

Phone: