

## Instructions for preparing HEETF proposals

These are general guidelines for proposal preparation. There may be additional requirements to comply with the call for proposals for a specific year

Please note that supplemental information is needed **for each qualifying research equipment request that costs \$100,000 or more**. See additional information below.

### 1. For instructional equipment requests, please address the following:

- a. The number of students served and the impact if the request is not funded;
- b. A statement of how operating expenses (e.g., maintenance contracts, personnel to operate equipment, etc.) will be funded. This should envision the five-year service life mandated by HEETF, not just the immediate post-purchase warranty period;
- c. A statement describing the level of cost matching funds that the requesting unit would be willing to bear in the event that the HEETF review committee determines it is willing or able to fund only a portion of the proposed expense.

### 2. For research equipment requests, please address the following as applicable:

- a. If a request is jointly supported by more than one unit, provide a brief memorandum signed by a responsible authority (e.g. Associate Dean for Research) from each unit that describing what percentage and dollar amount of an instrument request will be supported by each unit (e.g. if a request for a \$600K microscope were to be supported by both the School of Medicine and Massey Cancer Center and was to split 60%/40%, the memorandum should indicate that School of Medicine's allocation, if approved, would correspond to \$360K while Massey Cancer Center's allocation would correspond to \$240K. The memorandum should also indicate which unit will run the procurement if approved. Normally this would be the majority partner.
- b. Beginning with FY22 a mandatory cost match mechanism was implemented. Please note that the cost match will be applied to the **total value of the approved requests made to each unit**. It will *not* apply at the level of individual instruments. This cost match will be automatically calculated. The cost matching scheme is tiered and progressive according to the following schedule:
  - portion of total approved request < \$100K are exempt from match
  - portion of total approved request >\$100K are subject to 10% match

Example: if a unit receives approval for three instruments (or percentages of instruments for joint requests) with a *total* value of \$650K the unit will need to provide  $(\$100K * 0.0 + \$550K * 0.10) = \$55K$  of the total acquisition cost, with the remaining  $(\$650K - \$55K) = \$595K$  provided by state HEETF.

- Cost matches apply to the instrument acquisition alone, and will NOT be waived or offset by expenditures units may be obliged to make related to associated renovation or installation costs, ongoing maintenance, staffing, etc. related to the requested instrument(s).

- Units will not be forgiven projected co-pay amounts if the final invoiced acquisition cost is less than was requested from the committee. In this case, the overall unit co-pay will be recalculated based on the actual cost.
- c. The sufficiency of the environment into which the instrument will be placed and provide context (*e.g.* in a core laboratory or shared resource). Describe where the instrument will be located, whether space is available *as is* or if renovations will be required, whether trained operating personnel available, *etc.* **If renovations are required units must provide a pledge that they will bear these expenses. For jointly supported requests, the required memorandum may optionally describe an agreement between units with respect to how such renovation or installation costs will be shared.**
- d. A statement of how operating expenses (*e.g.*, maintenance contracts, personnel to operate equipment, *etc.*) will be funded. This should envision the five-year service life mandated by HEETF, not just the immediate post-purchase warranty period;
- e. Renovations.
  - 2.e.1.If renovations will be required, a commitment they will be completed to allow for HEETF equipment installation, testing and payment prior to June 30, of that year.
  - 2.e.2.A statement of who will be responsible for bearing the expense for any required renovations or ancillary costs related to the installation of the instrument;
- f. The HEETF Research Committee is requesting supplemental information for equipment requests for shared major equipment (items that cost \$100,000 or more). The intent is to avoid duplication of requests for major equipment items for Core/Shared Instrumentation Facilities that serve multiple users. Please complete the form for each qualifying equipment request.
- g. Quotations from the equipment manufacturer should be provided and be consistent with the dollar amount requested.
- h. In the event a research award is received on a piece of equipment substantially equivalent to a HEETF requested or approved item, the unit is required to immediately notify the committee chairs so that, if necessary, the committee can be convened to determine what should happen with the previously granted request.

#### **Shipping and installation:**

- 1. Freight Charges** – These charges can be paid, if they are included in the total cost of the equipment. Freight charges should be included on the same purchase order as the equipment. They cannot be paid if they are submitted on a separate voucher.
- 2. Installation Costs** – These costs can be included in the cost of the equipment if they are the cost to unpack, set-up and test the equipment. These costs should be included on the same purchase order as the equipment. They cannot be paid if they are submitted on a separate purchase order. Building modifications, new electrical outlets, *etc.* are not allowable costs.

**SUPPLEMENTAL INFORMATION FOR SHARED MAJOR RESEARCH EQUIPMENT REQUEST**

Please complete this form **for each qualifying research equipment request that costs \$100,000 or more.**

**Requesting Investigators/Users (attach NIH Biosketch for each, show how need is currently met, list any relevant publications using this equipment, note Current and Pending proposals dependent on this equipment):**

Description – As shown on spreadsheet \_\_\_\_\_

Name	Dept/Unit	Office Phone	Email address name@vcu.edu	PI/CoPI Minor User

Name/possible vendor of Requested Instrument:	Cost: \$  <i>A quotation from the manufacturer must also be included supporting the request.</i>
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**Insert as many lines or pages into this document as required to be fully responsive to the questions.**

- Describe existing equipment of the same or similar type and capability at VCU (in both your own *and in other units*) and fully justify why the requested item of equipment is needed (*e.g., different capability, existing equipment is used at full capacity, etc.*):
- Describe all other means by which your unit has sought to acquire similar instrumentation/capability. This should include NIH S10 or NSF MRI instrumentation grants, *etc.* Please indicate the status of any grants (submitted, pending review, reviewed but unfunded, *etc.*). If you have *not* attempted to secure requested instrumentation through such alternative funding mechanisms, please indicate why not, and why you believe HEETF funding is appropriate:

3. What is the estimated annual operating cost of this instrument and required supplies, and how do you propose that these expenses will be paid:
4. Describe and/or provide quotes for annual service contract amounts and how these will be paid. *Please note that it is not acceptable to specify that an institutionally designated core laboratory will be responsible unless the instrument request is made with the consent of and coordination with the director of the core lab and with the understanding that the instrument will fall under the management of that core. Similarly, it is not acceptable to specify that maintenance contracts will be supported by the Office of the Vice-President for Research and Innovation without the prior consent of the Director for Research Infrastructure. Such requests would normally only be considered for instruments to be placed into designated core laboratories.*
5. Describe the proposed location of the requested instrument. *Please note that it is not acceptable to specify that an instrument will be sited in an institutionally designated core laboratory unless the instrument request is made with the consent of and coordination with the director of the core lab and with the understanding that the instrument will fall under the management of that core. Similarly, it is unacceptable to propose location of instrumentation in Division of Animal Resources managed space without the specific consent and prior approval of the DAR Director.*
6. If requested equipment will require a *new* commitment of space, indicate the specific location (room number if possible) where the instrument will be located. Indicate also the academic unit that has agreed to commit this space. If the academic unit committing the space differs from the unit initiating the HEETF request, a separate memorandum of understanding from that unit agreeing to the space commitment should be attached.
7. If requested equipment will require renovations to space, indicate i) the estimated cost; ii) source of funding and; iii) estimated time needed for renovations to be completed: ***Note that the requesting units bear the ultimate responsibility for all renovation associated costs. Further note that it is impermissible to pay renovation costs from core laboratory budgets or from service center associated recharge accounts. If renovations are to be funded in whole or in part from an index not under the control of the requesting unit, or if a request is supported by multiple units and renovation costs are involved, then a memorandum of understanding between the involved units should be included with this application (see section on joint requests in general instructions).***
8. Describe system and/or policies for instrument use/access (*i.e.*, charges, scheduling, front end sample submission procedures, attach details of existing system if one exists):  
Please indicate the proposed instrument operator(s) of the requested instrumentation. This information should include their current position(s) at VCU, a concise summary of their training and experience with this or similar equipment that qualifies them for this role, and how their salary will be supported: