Office for Research – 2019 Outstanding Core Facility Award

Scoring Criteria (80 pts possible) – based upon assessment of data provided in 2019 Annual Report as well as other considerations pertaining to the operation of the facility; each category (admin, research & technical staff, etc.) has a maximum of 10 pts possible and an overall rating as follows:

- Outstanding = 10 pts
- Excellent = 8-9 pts
- Very Good = 6-7 pts
- Good = 4-5 pts
- Weak = 0-3 pts

1. Administration and Governance (Section A-C, Q) (10 pts)
   a. Overview:
      i. 1 pts - Mission Statement accurately articulates main focus of core (>50% of activities)
   b. Faculty director and faculty advisory committee:
      i. 1 pt - Effort provided for administrative activities appropriate
      ii. 1 pt – Representation from multiple departments
      iii. 1 pt – Committee represents user base and has appropriate expertise
      iv. 2 pt - FAC met at least twice in the past year and meeting notes provided
   c. Business Admin
      i. 1 pt - Business administration for the facility identified and appropriate
   d. Report Approval
      i. 1 pt - FD and FAC chair approved and sign the annual report
   e. Research Safety Certification and Business Continuity Plan
      i. 2 pts: Continuity plan stored in OR's Sharepoint folder and safety certification included in report

2. Research & Technical Staff (Section D)
   Note: Confederated core scores are prorated for each sub core. 10 point maximum
   a. Technical expertise
      i. 2 pts - Qualifications of technical staff are appropriate and adequate to meet the needs of the user base
   b. Coverage:
      i. 1 pt - Full-time technical support for the facility
      ii. 1 pt – Staffing sufficient to meet user needs
      iii. 1 pt – Adequate backup coverage identified to cover common staffing interruptions (i.e. no single point of failure for mission critical activities)
   c. Professional development:
      i. 2 pts – did all/most technical staff attend training course, workshop or conferences
      ii. 1pt – Staff presents at regional / national meeting
      iii. 2pt – Staff are co-author on publication or is acknowledged or has contributed text/figures to grant.
      iv. Bonus point if presentation is related to core facilities (still 10 pt max)
3. **Resource Management (Budget file, Section G)**
   a. **Financial Operations**
      i. 1 pt – Core has < 2 months deficit and report is clear/accurate
      ii. 1 pt – Core has < 2 month debt (if > 2 mo. surplus, explanation required)
      iii. 1 pt – Core has > 90% recovery
      iv. 1 pt – Core has multiple sources of revenue (grant, endowment, FSM). Backstop of deficit not included.
      v. 1 pt – Core bills using recommended pricing based on cost study and external guidance
   b. **Equipment/Service line stability**
      i. 2 pts – Equipment is healthy and plans are in place to replace aging equipment / train additional staff needed for continuity.
   c. **Capability growth** – 3 pt max (Note that in cases of confederated cores, point are normalized based on the numbers of outward facing cores (i.e. if 2 cores are confederated, each would receive 0.5 pt for each service line and maximum of 2 pts/core.)
      i. 1 pt – Awarded for each new service line
      ii. 1 pt – Awarded for each external grant submitted (core must receive > 50% of award)
      iii. 1 pt – Awarded for each external grant funded (core must receive > 50% of award)
      iv. 1 pt – Awarded for each internal grant funded

4. **Customer Base & Satisfaction (FSM Survey Results / Usage Report / Section G – H)**
   a. Services provided are state-of-the-art / not available through other means
      i. 2 pts – Equipment/ Services provide unique capabilities to Northwestern research groups (i.e. capital intensive, difficult to maintain/train or state-of-the-art)
   b. Size and diversification of customer base (Diverse is > 10 PI’s with significant revenue (> $10K), > 10 PI’s > 5% usage, > 5 Dept’s or multiple schools > 10% revenue. No PI can be > 33% revenue). Confederated cores are treated as a single core.
      i. 4 pts – large ($500K or more total income) and diverse;
      ii. 3 pts – medium ($200K-$500K total income) and diverse;
      iii. 2 pts – (under $200K total income) and diverse;
      iv. 1 pts – large and not diverse;
      v. 0 pts – small and not diverse.
   c. 2016 User survey results – based upon facility’s relative ranking of weighted score (confederated cores ranked on average ranking of each core)
      i. 4 pts – Good response/ highly rated (> 30% of users / > 4.5)
      ii. 3 pts – Good response / well rated (> 30% of users / > 4.0)
      iii. 2 pts – Poor response / highly rate (< 30% of users / > 4.5)
      iv. 1 pts – Poor response / well rated (< 30% of users / > 4.0)

5. **Customer Publications & Grants (Section L / Comprehensive publication list can be pulled from NU Scholar or other resource by administration. Cores do not need to pull)**
Note that confederated cores should show 3-5 publications/grants per core. Faculty data pulled independently by CFA

a. Faculty Productivity
   i. 2 pts – Faculty highly productive and usage clearly linked to core (>10 publications or grants / major user annually)
   ii. 1 pts - Faculty moderately productive and usage clearly linked to core (>5 publications or grants / major user annually)

b. Publications
   i. 1 pt – Publications listed highlight capabilities of each core
   ii. 1 pt – Publications are in highly rated journals
   iii. 1 pt - 3 or greater publications / core
   iv. 1 pt - Multiple departments represented in list

c. Grants
   i. 1 pt – Grants listed have unique contribution from core
   ii. 1 pt – Multi PI grants included
   iii. 1 pt - 3 or grants publications / core
   iv. 1 pt - Multiple departments represented in list

6. Educational & Outreach Activities (Section M-N)
   Note: Confederated core scores are prorated for each sub core. 10 point maximum

a. Formal educational
   i. 3 pts – Core leads courses or course is centered on core usage
   ii. 2 pts – Core actively participates in courses managed by someone else
   iii. 2 pt – Core provides services to courses

b. Seminar / Speaker Series
   i. 3 pts – core hosts seminar series with external speakers
   ii. 2 pts – core participates in symposia
   iii. 2 pts – core organizes regular internal presentations
   iv. 1 pt – core hosts speaker

c. Workshop
   i. 3 pts – Core leads workshop involving external users
   ii. 2 pts – Core leads workshop involving internal users
   iii. 1 pt – Core assists with workshop

d. REU/ REI
   i. 1 pt – Core hosts Research Experience for Undergraduates / Research Experience for Instructors

e. Outreach
   i. 3 pts – Core organized events for K-12 students (2 pt /activity)
   ii. 2 pts – Core participates in event for K-12 students (1 pt /activity)
   iii. 1 pt – Core is involved in pilot testing (per activity)

7. Communication of Services (Section N)
   Note: Confederated core scores are prorated for each sub core.

a. Web Presence (6 pt max)
   i. 0-2 pts - Information on Core, Center, FSM, and CFA sites are accurate
   ii. 0-2 pts – Site content us updated regularly
iii. 1 pt – Search of common keyword / core name / northwestern shows core near top of list.
iv. 1 pt – Home page and key landing pages have easy mechanism to contact the core director or begin a projects (i.e. online survey)

b. Alternate mechanisms (4pt max)
i. 0-2 pts – Core holds regular user group meeting to broadcast new capabilities / obtain user feedback
ii. 1 pt – Core participates in research fair (per activity)
iii. 1 pt – Core actively involved in faculty recruitment.

8. Self-Assessment and Goals (Section O-P)
a. Self-Assessment
i. 1 pt – Concerns from user survey addressed or no negative comments / weaknesses
ii. 2 pts – SWOT analysis uncovers actionable items and clearly identifies stakeholders
iii. 2 pts – Feedback from FSM/CFA’s previous year addressed.

b. Goals
i. 2 pts – Meaningful progress made on last year’s goals
ii. 3 pts - Next year’s goals follow SIMple format and are time based: SIMple = Specific, Important, and Meaningful