

# **UMass Chan Medical School**

## **Research Space Policy**

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## **Space Planning and Management**

To continue to build on the success of its research enterprise and to support the next phase of its growth, UMass Chan is committed to the effective use of research space in all of its research buildings. Research space will be assigned to promote the scholarly activity of individual faculty members and support the research of departments, centers, programs and institutes as defined in UMass Chan Governance T03-035 and the UMass Chan Procedures for Governing Centers, Programs and Institutes (and hereafter referred to throughout this policy as “Units”) and reviewed in accordance with the following benchmarks and processes.

## **UMMS Space Policy Goals:**

1. To maximize productive use of the institution’s research space, reflecting not only its limited availability but also its high cost to construct and maintain.
2. To define standards and benchmarks regarding space, grant and personnel data to be referenced by the Dean and research leadership in decision making processes regarding the assignment of available research space and the need for additional research space.

## **UMMS Space Policy - Principles**

1. The Dean is ultimately responsible for the assignment of space to meet the institution’s strategic and operational goals.
2. Department chairs, center directors, and program directors (hereafter referred to throughout this policy as “Unit Leaders”) are responsible for the stewardship of space assigned to them in accordance with UMass Chan policies. Unit Leaders will assign space to individual investigators.
3. Individual faculty member space use is evaluated by the Unit Leader in accordance with individual goals as established by the chair and faculty member in accordance with the UMass Chan Faculty Compensation Guidelines Policy.
4. All space assigned to Units will be subject to review by the Dean or the Dean’s designee. Criteria used in the review process will be prospectively disseminated to Unit Leaders and will include the space use metrics described in this policy.
5. All outstanding and new commitments for incremental space will be subject to review based on the unit’s current use of space.
6. Space assignments are not permanent, and occupancy does not imply ownership by the Unit or the faculty member.

## **Documentation**

All commitments for UMass Chan space will be centrally documented by the Medical School's Planning Department. Commitments will specify building, room, occupancy data, and effective date(s). Overall unit space assignments and commitments will be reviewed at each unit's annual budget hearing with the Dean.

## **Research Space Use Metrics**

UMass Chan recognizes that there are many ways to look at research space use. In addition to the three "Key Research Use Metrics" listed below, scholarly achievement (i.e. publications), pending awards, and funding from gifts or intellectual property are evaluated as Additional Considerations and are important criteria in determining how well research space is being used as defined in the Annual Review Process section of this policy.

Key metrics ("Key Research Use Metrics") that UMass Chan will use for purposes of this policy are:

1. FTE and head count density (Space Density) in Medical School research space.
2. Indirect Costs (IDC) per square foot of Medical School research space.
3. Research Direct Cost (DC) per square foot of Medical School research space.

These three key metrics as adjusted by any Additional Considerations will be the focus of UMass Chan research space use benchmarking. If a Unit fails to meet specified benchmarks for a three consecutive Annual Review Cycles, space may be subject to reallocation as defined in the Annual Review Process section of this policy.

## **Benchmarking**

UMass Chan Units will be compared to the school as a whole as defined in the Annual Review Process section of this policy. UMass Chan will also set a benchmark level of funding for covering the Medical School's facilities costs plus partial capital replacement to evaluate the effectiveness of this policy over time and the efficacy of new construction plans.

## **Annual Review Process**

- Space use will be a covered subject at each Unit's annual budget hearing with the Dean in the context of the Space Use Metrics defined herein.
- Space data, metrics or other information to be used in the review will be provided to the unit in advance.
- In-depth space use reviews including at least three years of data may be requested by the Dean or Unit Leader for any Unit at 3 year intervals or other such times due to Significant Deviation from space use metrics as defined herein, recruitment needs, chair replacement or other

material change in the Unit.

- It will be the responsibility of the Unit Leader to provide information on additional space use considerations (referred to throughout this policy as “Additional Considerations”) including but not limited to new faculty who are still in their start-up phase; scholarly achievement and scientific impact that requires special recognition; contributions to new, emerging areas of scientific interest; and, housing or maintenance of approved scientific cores.
- Written requests for Additional Considerations presented to the Dean will be evaluated by the Dean’s Research Space Advisory Committee whose timely recommendation will be taken into consideration by the Dean in supporting or rejecting the use of the additional data in the Unit’s space use metrics. If the Additional Considerations are rejected, the Dean will provide a written explanation to the Unit Leader and Dean’s Research Space Advisory Committee.
- Units that have a negative Significant Deviation in the 5<sup>th</sup> quintile after evaluation of Additional Considerations, that continues for three consecutive Annual Review cycles will be expected to create a written Plan for Improvement which will be evaluated by the Dean and the Dean’s Research Space Advisory Committee, whose timely written recommendation will be taken into consideration by the Dean in supporting or rejecting the proposed plan.
- If the Dean rejects the proposed Plan for Improvement after consultation with the Unit Leader and Dean’s Research Space Advisory Committee, the Unit Leader will be expected to work with the Dean to reassign or reduce a portion of the unit’s research space. The amount of space to be reassigned or reduced will be based on the goal of achieving and/or maintaining optimal productive use of all UMass Chan research space.

### **Incremental Space Requests**

Requests for incremental space will be considered by the Dean or Dean’s designee only if current benchmarks for space use for that Unit have been at or above the median Indirect Cost per Square Foot and Staff Density for 2 years or greater. At the time of the request, units must provide documentation that their current space is being used efficiently. Written requests will be accepted only from the Unit Leaders to the Dean or Dean’s designee. Requests from individual faculty will be routed back to the Unit Leader.

Written requests for incremental space should include: the name of the faculty person, their current career level or rank, funding information, size of staff, type of space needed, special space needs, and data on animal use.

Written requests to the Dean or Dean’s designee are the only recognized method for requesting space.

### **Transfers and Loans between Units**

Space transfers or loans between UMass Chan Units or other entities must be reviewed and approved in writing by the Dean or the Dean’s designee. UMass Chan will not be responsible for finding incremental space for the borrower when the loan expires. The cost of any renovations or alterations to the space to accommodate a different function (for example, turning wet lab space into dry lab space) and any

agreements to return the space to its original condition in the future will be agreed upon in advance and approved by the Dean or the Dean's designee.

### **Unit Space Policies**

Each Unit may have its own space policy that references and is consistent with the UMass Chan Space Policy, and may include additional criteria to be used by the unit when considering space use and assignments within the Unit. Each Unit's space policy should include guidelines for laboratory and office space assignment based on individual faculty need and Unit priorities.

**Definitions:**

“Units” are departments, centers, programs and institutes as defined in UMass Chan Governance T03-035 and the UMass Chan Procedures for Governing Centers, Programs and Institutes.

“Research Space for a Unit” is the research square footage assigned to a Unit Leader after adjustment for any Additional Considerations as are defined by the Dean and Unit Leader in accordance with the Annual Review Process of this policy.

“Wet Lab Research Space” is research space where [chemicals](#), [drugs](#), or other material or biological matter are tested and analyzed requiring water, direct ventilation, and specialized piped utilities.

“Dry Lab Research Space” is research space where non-wet lab research is performed.

“Core Space” is research space that is assigned to an Institutional Research Core which is approved by the Office of Research, Vice Provost for Research.

“Wet Lab Median” is the median Indirect Cost per Square Foot value derived for all wet lab research space after adjustment for Additional Considerations in UMass Chan research buildings.

“Dry Lab Median” is the median Indirect Cost per Square Foot value derived for all dry lab research space after adjustment for Additional Considerations in UMass Chan research buildings.

“Staff Density Median - Wet” is the median Staff Density Ratio derived for all wet lab research space after adjustment for Additional Considerations in UMass Chan buildings.

“Staff Density Median – Dry” is the median Staff Density Ratio derived for all dry lab research space after adjustment for Additional Considerations in UMass Chan buildings.

“Research Space Quintile” is one of five tiers, ranging from high to low (1<sup>st</sup> through 5<sup>th</sup>), that a Unit’s research space is included in as a result of calculating a Unit’s research space in relation to the Key Research Use Metrics for IDC per square foot, DC per square foot or Staff Density.

“Significant Deviation” is Unit level data that falls within either the 1<sup>st</sup> (positive) or 5<sup>th</sup> (negative) quintile for any one of the 3 Key Research Use Metrics.

“Dean’s Research Space Advisory Committee” consists of the Vice Provost for Research, Vice-Chancellor of Administration & Finance, one member appointed by the Scientific Council, one member appointed by the Faculty Council and two members appointed by the Chair’s Council. The Chair’s Council will endeavor to ensure that at least one appointee has expertise in dry lab research. The Vice Provost for Research will convene two annual meetings of the committee per year, or on an ad hoc basis as requested by the Dean or a Unit Leader. Appointed committee members will be expected to serve a two-year term but are not limited to one term. Commencing in the first year, committee member term end dates will be staggered so as to promote continuity of the committee and to ensure that there are always members with prior experience serving at all times. This committee will review requests made by Unit Leaders and provide the Dean with their written recommendation in conjunction with the following:

1. Additional Considerations request from a Unit Leader
2. Plan for Improvement from a Unit Leader

“Timely” is the equivalent of sixty days or less unless a written request for additional time is submitted to the Dean by the Dean’s Research Space Advisory Committee and is approved by the Dean prior to the conclusion of the sixty days.

“Plan for Improvement” is a written plan submitted to the Dean by a Unit Leader which states specific actions that the Unit Leader proposes be made within the Unit to improve research space use data over the ensuing 24 month period. Such a Plan may be requested by the Dean as the result of an in-depth space review or when a Unit has a negative Significant Deviation for a period greater than 2 Annual Review Cycles (each as defined in the Annual Review Process section of this Policy).

“Indirect Cost per Square Foot” is the total of all indirect cost earnings received from external sources for the research program activity assigned to a particular area [i.e. IDC Earnings from Unit Assigned Grants (x) divided by Unit Assigned Research Space (y) for IDC per Square Foot of  $(x/y)$ .]

“Direct Cost per Square Foot” is the total of all direct cost expenditures from external awards for the research program activity assigned to a particular area [i.e. DC Expenditures from Unit Assigned Grants (x) divided by Unit Assigned Research Space (y) for DC per Square Foot of  $(x/y)$ .]

“Staff Density” is the ratio of staff or students listed in the PeopleSoft System (or other institutional data source) and assigned to research space in the Medical School’s space database to the number of designed workstations in any given room or lab type [i.e. Number of Staff and Students Assigned to Lab Bay (x) divided by Total Lab Bay or Room Designed Capacity (y) for Staff Density of  $(x/y)$ .]