

**School of Medicine**  
**Space Governance Policy**

November 2010

Revised February 2017

# School of Medicine Space Governance Policy

<u>TABLE OF CONTENTS</u>	<u>PAGE</u>
Purpose	1
Responsibility for Space Resources	1
School Space Committee	1
Space Assignment and Records	1
Space Allocation, Retention and Use Evaluation	1
Space Designation – Research Programs	2
Vacated Space and Recruitments	2
Recruitment Space in New Research Buildings	3
Space, Recruitments and On-going Revenue and Costs	4
Released Space	4
Space Exchanges and Loans	5
Space Requests	5
Space Disputes	6
Swing Space	6
Lease Space	6
Research Space Allocation, Use and Retention	7
Appendix A	10

PURPOSE

The purpose of this policy is to provide a framework for uniform, equitable and effective governance of School of Medicine space.

RESPONSIBILITY for SPACE RESOURCES

The dean has overall responsibility for the equitable and optimal use of School of Medicine (SoM) space resources, with final authority over all SoM space assignments and designations.

SCHOOL SPACE COMMITTEE

The dean appoints a committee comprised of faculty and staff to make recommendations to address principles, processes and issues regarding space management for all school space, such as space designations for emerging research programs, reassignment of released space, and criteria to evaluate space productivity.

SPACE ASSIGNMENT and RECORDS

School of Medicine space may be *assigned* by the dean to one of three recognized entities:

1. Department
2. ORU (Organized Research Unit)
3. Dean

These assignments are recorded in the campus space management system.

The department chair or ORU director is responsible for managing the department/ORU's assigned space, including determining allocations for individual faculty members and units within the department/ORU and ensuring the department/ORU information is updated in the campus space management system.

SPACE ALLOCATION, RETENTION and USE EVALUATION

*Space assignments are not permanent.* Space assignments to departments and ORUs, and space designations for programs are not permanent. Departmental and ORU space assignments and usage will be reviewed periodically by the School of Medicine Space Committee with the department chair or director. For research space, see attached section (page 7), "*Research Space - Principles and Processes for Allocation, Use and Retention*".

## SPACE DESIGNATION – Research Programs

The dean may *designate* space for a specific research theme or program (e.g., Microbial Pathogenesis) and appoint a program director(s); however, that *space will not be directly assigned to the program*. *The designated program space will remain assigned to the dean, or departments and ORUs (see Space Assignment and Records) associated with the research program.*

The SoM Space Committee may make recommendations to the dean regarding space for existing programs and for new programs. The dean will periodically review research programs and space designations as research directions and priorities may change over time.

## VACATED SPACE and RECRUITMENTS

### Notification to the SoM Space Committee by the chair/director:

- 1) When a faculty member (or faculty fellow) vacates 1000 assignable square feet (ASF) or more, e.g., leaves the university, retires, or moves to another department:

The chair/director will notify the SoM Space Committee in writing as soon as a pending departure of a faculty member (or faculty fellow) is known, or *30 days before* a faculty member (or faculty fellow) will leave the university, retire, or move to another department. This notification ensures the department/ORU will have an opportunity to propose a use for the space to be vacated (or an approved alternative space) and the potential benefit of incumbency.

### Following notification, the chair/director will:

- 2) *Within 90 days* of the date the committee is notified of a faculty member's (or faculty fellow's) departure from the university, retirement, or move to another department, the chair/director will provide the committee with a *written detailed use proposal and execution plan*, including planned recruitments, financial commitments, any temporary space loans, and a specific timeline.

*The proposal must be approved by the committee.* If approved, the committee may allow up to a maximum of 2 years for execution of the proposed plan.

*The primary consideration for proposals will be the incumbency within the space and the research integrity of the neighborhood. However, compelling circumstances, as determined by the Dean, may take priority.*

*If a proposal is not approved by the committee, the space returns to the dean.*

### Vacated Space within a Research Program

If the vacated space is assigned to a department or ORU and is designated by the dean for a recognized research program (e.g., Immunology; Regeneration Medicine), the *chair/director of the*

*department/ORU with the space assignment and the director of the designated research program will jointly notify the SoM Space Committee and develop the detailed use proposal and execution plan.*

If a department or ORU wishes to pursue a research direction inconsistent with the space's designated research program, the chair/director must negotiate a space exchange, with the dean's approval, or relinquish the space.

#### For Approved Space Use Proposals

- 1) For approved proposals, for which department/ORUs are given an opportunity to execute a plan, the chair/director will be required to provide a written update to the committee 6 months before the approved time ends.
- 2) At the time of the written update or, in the event the approved proposal is not executed in the time specified by the committee, an extension to execute the proposal may be requested. However, given the scarcity of space resources, the request will be considered against other competing needs, and incumbency within the space will not necessarily be considered. The space returns to the dean at the end of the time specified by the committee, and the committee may loan or reassign the space.
- 3) When feasible, spaces pending execution of an approved plan may be loaned by the SoM Space Committee to help meet the temporary space needs of other school and campus groups.

When loaning or reassigning space, the committee will consider the local research neighborhood and programmatic cohesiveness, as appropriate. Space use by research neighborhoods and programs, as for all occupants of SoM space, will be periodically reviewed.

#### RECRUITMENT SPACE in NEW RESEARCH BUILDINGS

- Chair/director to present to the SoM Space Committee recruitment progress and plans, and research core plans, every two years after the building opens. In addition, any planned shared research core facilities will be identified.
- The size and scope of new programs to be developed and the expectations set for stakeholders and donors during the planning and funding of each new building will likely be unique. The SoM Space Committee and chair/director will discuss and agree on a reasonable schedule for space utilization at the first progress meeting. Space will remain assigned to the department/ORU and will not return to the dean unless the committee determines that the progress and/or plan are not sufficient.
- Unoccupied space will be loaned on a temporary basis. As a condition of a loan, a defined exit strategy will be required, including a specific permanent location and the date that location will become available. The chair/director will notify and work with the SoM Space Committee co-chairs to review all loan requests and exit strategies. A written MOU will be signed by the lending chair/director and the recipient chair/director.

To facilitate transparency and, when possible, neighborhood-compatible loan requests, departments/ORUs should identify research neighborhood themes in the campus space management system (a “Notes” field is available for this).

SPACE, RECRUITMENTS and ON-GOING REVENUE and COSTS, including ALLOCATION OF INDIRECT COST RECOVERIES (ICR)

*Revenue and costs are distributed to the entity bearing the on-going financial obligation for an investigator (e.g., space, grants administration, salary support). However, if that financial obligation is shared (e.g., department or ORU and a research program; department and ORU; two departments), costs and revenue, including the returned ICR generated by that investigator, should be distributed proportionally.*

ICR allocations are to be negotiated and agreed upon by the departments, ORUs, and programs responsible for on-going financial obligations. For example:

- xx% to Department/ORU to which space is assigned (or loaned if designated by dean as research program space)
- xx% to Department/ORU/Program responsible for grants administration
- xx% to Department/ORU/Program responsible for salary support

Allocation agreements will be documented by the departments, ORUs, and programs and submitted to and held on record by the dean’s office.

RELEASED SPACE (made available by relocations to new buildings)

When relocations to a new research building occur, the vacated space is released and returned to the chancellor and dean for reassignment. Specifically, if a PI with an FTE (or FTE equivalent) in a department/ORU occupies space assigned to that department/ORU and relocates to a new building, space for that PI in the new building will be assigned to the department/ORU holding the FTE (or FTE equivalent), and the vacated space will be returned to the chancellor and dean. Any exceptions will require the approval of the SoM Space Committee, the dean and the chancellor.

In general, an open process is conducted by the School of Medicine Space Committee to request and evaluate proposals from department chairs and ORU directors, and make recommendations to the dean for release space assignments.

Departments and ORUs receiving space will be responsible for costs associated with renovations and relocations. Additionally, departments and ORUs are responsible for leaving vacated space in “broom clean” (i.e., move-in) condition, including removal of all equipment, supplies, chemicals, isotopes and trash, plus a documented Environmental Health and Safety inspection and approval.

*Within two months of release space being designated or assigned, either a search committee will be appointed and initiated or an alternative plan identified for the SoM Space Committee's approval. The recruitment or approved alternative plan must be executed in the time specified by the committee, up to a maximum of two years. If the search committee initiation and recruitment or approved alternative plan is not executed within the time frames specified, the space returns to the dean. The chair/director of the department/ORU previously assigned the space may request an extension; however, the SoM Space Committee shall review and have the option to recommend reassignment of the space.*

When feasible, spaces pending recruitment or execution of an approved alternative proposal may be loaned by the SoM Space Committee to help meet the temporary space needs of other school and campus groups.

#### SPACE EXCHANGES and LOANS

Within the School of Medicine -

A SoM department/ORU may loan its assigned space to another SoM department/ORU. However a department/ORU may not reassign its assigned space to another department/ORU; space may be reassigned by the dean only. All interdepartmental space loans within the school will be requested in writing from the chairs and directors for the dean's approval.

Between Schools -

A SoM department/ORU may not loan its assigned space to another school's department/ORU. All space exchanges and loans between schools will be requested in writing from the deans for chancellor's approval.

#### SPACE REQUESTS

Space requests for individual faculty members and for units within a department/ORU/institute/center will be addressed by the chair or director.

Requests for additional space for a department/ORU/institute/center (DOIC) may be submitted by chairs or directors only to the SoM Space Committee.

#### Priorities

Each space request will be reviewed on individual merit, with consideration of the following priorities for space assignment:

- Campus research core facilities, as defined and vetted by the director of the UCSF Research Resources Program, requiring proximity to investigators and with a broad impact on research community
- Recruitment of department chairs and ORU directors
- Funded recruitments

- Funded programs
- Programmatic synergies with:
  - research neighborhoods
  - proximate clinical programs and practices
  - other site-specific programs
- Programs aligned with campus and school strategic planning

For these and all space assignments, use will be periodically reviewed as specified in this policy.

#### Process

- Requests will be accepted from chairs/directors only, at any time, in a standard format specified by the SoM Space Committee
- Requesting unit's current space utilization will be reviewed, based on eight criteria outlined for research space in SoM space policy, as well as campus ICR benchmarks for research space and density standards for administrative space set by the UCSF Space Committee
- To be able to respond to requests in a timely manner, as needed, a Request for Proposals (RFP) will not be issued routinely for each space to become available. The SoM Space Committee will determine opportunities warranting an RFP process.  
However, space requests may be submitted at any time by chairs/directors.
- Chairs/directors shall have access to view all space assignments in the campus space management system.

#### SPACE DISPUTES

Issues and disputes within or between departments/ORUs that cannot be resolved at that level may be forwarded in writing from the chairs/directors to the SoM Space Committee for consideration.

#### SWING SPACE

If a department/ORU is unable to provide swing space for its faculty and staff displaced during a renovation, the school will, if possible, make swing space available with the understanding that all costs associated with relocations, preparing the space for occupancy, maintaining the space during occupancy, and cleaning the space post-occupancy will be assumed by the department/ORU.

#### LEASE SPACE

With a business plan, identification of specific department/ORU funds, and the written approval of the vice dean for finance and administration, a department/ORU may work directly with the Office of Real Estate Services to lease appropriate off-campus academic space.

***This space governance policy supersedes all previous policies and applies to all School of Medicine space without exception.***



## School of Medicine Space Governance Policy

### RESEARCH SPACE - Principles and Processes for Allocation, Use and Retention

#### Goals

1. Develop policies that seek to provide each active faculty investigator with space suited to the type of research pursued.
2. Identify principles that are transparent, fair and consistent in:
  - a) securing quality space for all investigators;
  - b) facilitating research across all Departments/ORUs/Institutes/Centers (DOIC) that hold School of Medicine (SOM) research resources and are conducive to trans-disciplinary approaches;
  - c) recognizing and responding to the needs of individual investigators, key departmental recruitments and retentions, and the overall research community;
  - d) helping to maintain and further strengthen research excellence where it exists, and enable it where it does not;
  - e) enabling rigorous pursuit of emerging research opportunities; and
  - f) reallocating underutilized space.
3. Institute processes that are transparent, fair and consistent in allocating and evaluating research space.

#### Principles and Processes

Principles and processes for research space allocation, evaluation and retention will be implemented across the SOM, beginning in January 2011, using both retrospective data and prospective planning. These principles and processes themselves will be evaluated following implementation, and modifications may be recommended to the dean as deemed necessary.

##### Principle 1

The following criteria will be applied in the allocation of research space (which may include research administration and core research facilities), and in the periodic evaluation of its use and retention. All criteria will be considered for allocation or retention of space.

- a. alignment with UCSF, SOM missions and strategic priorities
- b. specific DOIC goals
- c. collaborative, trans-disciplinary, trans-DOIC, multi-site research program
- d. translational research program
- e. transformative research program
- f. capacity to contribute to the cost of renovating, equipping or operating any requested space

- g. in-kind contributions to the research community of space, instrumentation and/or professional staff
- h. extramural funding (direct and indirect cost expenditures per ASF, assignable square feet research space; large institutional grants, *e.g.*, CTSI, ITN will be factored out)

*Process:*

- a. SOM dean will appoint a SOM Space Committee that is broadly representative of SOM DOICs and research approaches; members will be appointed to staggered, approximately three-year terms.
- b. SOM Dean's Office will collect annual reports from DOICs that update the criteria above, and explicitly discuss any changes from the previous year. Space and financial data used for review will cover the current year plus the previous three fiscal years.
- c. Committee will interact with DOIC chairs and directors, not with individual investigators.
- d. SOM Space Committee will recommend new or revised space assignments to the dean.

**Principle 2**

Investigators, DOICs, the SOM and the campus administration will share responsibility for covering the operational costs of research space.

*Process:*

- a. UCSF campus and SOM administrations will work together to determine operational costs (including administrative, building operations and maintenance, interest and depreciation on buildings and equipment) for research space, and to define and address uncovered costs. This information will provide a basis for defining the shared responsibilities of investigators, DOICs, the SOM and the campus administration for covering the costs of research space.
- b. Each fiscal year, a standard expected level of extramural funding (indirect costs; \$/ASF) will be defined for research space based on operational costs. Based on this level, total expected funding will be computed for total research ASF assigned to each DOIC, and compared to the actual research funds generated within the assigned DOIC space (without regard to which DOIC administers or is "credited" for such funds). Failure to meet the overall expected level of funding for a DOIC is one criterion that could support a SOM Space Committee

recommendation to decrease the total research ASF assigned to the DOIC. Conversely, DOICs that exceed the total expected funding level would cite that achievement in any request for additional space, although that criterion alone is not sufficient justification for additional space. In addition, DOICs will be compared to the school as a whole, as well as to other relevant cohort groupings.

- c. DOICs holding underutilized space will be expected to develop, within one month of notification from the SoM Space Committee, a business plan (to be reviewed annually) for remedying the underutilization; for example, such plans might include interdisciplinary collaborations with other DOICs, or space loans to other DOICs. DOICs may submit updated funding data at any time.
- d. The SoM Space Committee will recommend that remaining underutilized space, as defined by Principles 1 and 2, be returned to the dean.

### **Principle 3**

The SoM Space Committee does not determine space allocations for individual faculty members. Each DOIC should have its own space policy that references and is consistent with the School of Medicine Space Governance Policy, Principles and Processes and may include additional criteria to be used when considering space utilization and assignments within the unit. For example, DOICs may set different expected funding levels for different types of research within specific DOICs. However, DOICs will have the overall responsibility of meeting the school standard. DOICs shall not assign more than one private office to a faculty member or staff. And, in considering DOIC proposals for the assignment of space, the SoM Space Committee will generally favor those proposals designating no more than twelve benches (workstations) for any one investigator.

***This space governance policy supersedes all previous policies and applies to all School of Medicine space without exception.***

## **School of Medicine Space Governance Policy**

### **Principles and Processes for Research Space Allocation, Use and Retention**

#### **Appendix A**

##### Definitions

##### Research Space – Assignable Square Feet (ASF)

For the purpose of assessing School of Medicine space productivity, research space is defined as School of Medicine-occupied space used primarily for research activities, and includes leased space occupied by School of Medicine units. Research space is limited to specific types of rooms entered in the campus space management system (updated annually by the departments) and recorded by the campus ICR Benchmarking Database at the end of each fiscal year:

- Research and Research Service (wet lab and wet lab support space)
- Research Office and Research Office Service (dry lab and dry lab support space)
- Office and Office Service (academic and other office, and office support space)

##### Extramural Funding - Research Expenditures

For the purpose of assessing School of Medicine space productivity, research expenditures are defined as dollars expended as a result of research carried out in School of Medicine-occupied research rooms. Research expenditures from the campus general ledger are recorded each fiscal year by the campus ICR Benchmarking Database:

- Total Direct Costs (TDC)
- Modified Total Direct Costs (MTDC)  
MTDC excludes some direct costs, e.g, equipment purchases, off-campus space rental costs, scholarships and fellowships (stipends)
- Indirect Cost Recoveries (ICR)