



Guidelines for Physical Laboratory Space Allocation

Endorsed by the Larner College of Medicine Advisory Council

Effective March 1, 2017

Space is a University resource allocated, through Colleges, Departments and select Centers, to individual faculty or groups of faculty for the purposes of supporting and promoting the University/College's mission. Neither the individual, the department, nor the college own the space they occupy and their continued use of University space is dependent on their continuing contribution to the University/College missions. Through the natural course of individual and institutional development, reallocation of space must occur to maintain the health of existing programs and to support new programs and faculty. This document is intended to provide both general guidelines and specific metrics for space allocation and reallocation within the Robert Larner, M.D. College of Medicine. The primary missions of the College of Medicine, relevant to space allocation, are 1) To educate new generations of physicians and researchers, both MD and PhD; and 2) To advance medical knowledge through research. It is also a priority to align space allocations with the Larner College of Medicine strategic plan.

The following outline represents general guidelines that will assist in the appropriate allocation of laboratory space, and office space in support of research, in the College. These are not intended, nor should they be interpreted, as prescriptive rules for space allocation. The Senior Associate Dean for Research (SAD/Research) must maintain flexibility to respond to the missions and priorities as noted above.

1. Space is allocated to individual faculty by Chairs and Center Directors, after it has been allocated to Departments and Centers by the Senior Associate Dean for Research (SAD/Research).
2. A Space Advisory Group comprised of 8 faculty members selected by the SAD/Research in consultation with the Dean and chairs will aid the SAD/Research as requested to review recommendations from the SAD/Research's Office regarding reallocations of facilities as well as imposition or adjustments of unit penalty fees for underutilized space. At the request of the SAD/Research the committee may also serve as a mediator of conflicts which arise regarding space allocation or reallocation between the SAD/Research's office and individual Chairs/Center Directors and/or between Chairs/Center Directors and individual faculty. Final informed decisions will be made by the SAD/Research in concert with the Dean of the

Larner College of Medicine. The committee will also review the Guidelines for Space Allocation on an annual basis.

3. Space allocations to individual faculty will be made by Departmental Chairs and Center Directors consistent with their contribution to the College's mission. This allocation should include both personal office space and, where appropriate, functional laboratory space consistent with the individual faculty members program and responsibilities. Departments and Centers are expected to develop explicit policies, subject to review, to guide their internal allocations (see Appendix section B). Department Chairs and Center Directors are expected to effectively manage their space allocations.
4. Emeritus faculty members are encouraged to continue their contributions to the College. The priority for granting space will be to faculty members with continued productivity towards the missions of the College. Maintenance of allocated laboratory space for emeritus faculty will be subject to periodic review by the SAD/Research and will require documentation of active research funding and productivity. If these requirements are not met, then the laboratory space will be surrendered to the Dean's Office. If the department head desires to keep said laboratory space in his/her unit then a written request providing justification must be submitted to the SAD/Research within 30 days for review and approval. Appropriate shared office space will be made available for emeritus faculty. If private office space is desired, the department head must submit a written request detailing the circumstances that warrant such space, which must in turn be reviewed and approved by the SAD/Research. Part time teaching contributions will not necessarily constitute adequate justification for private office space.
5. The allocation of wet laboratory space will be benchmarked prospectively against total dollars available for research by department. This total will include allocations from extramural funding sources and will be calculated annually for comparison with historic benchmarks. Dollars garnered from extramural funds and awarded through SPA will be used for this benchmark.
6. Assigned net wet laboratory space will be matched with appropriate office space as part of the overall research allocation. General guidelines around research laboratory/office allocation are based on a standardized 70/30 allocation which is employed in the design of UVM College of Medicine research buildings.
7. The allocation of space to departments and centers does not include unique set asides for undergraduate, graduate or postdoctoral fellows/associates. These personnel are expected to be accommodated in their mentor's container.

8. Space reallocation across departments will be based upon department needs and productivity, as well as strategic alignment with the College. Total space allocation to departments combining laboratory space, office space in support of laboratory activity and other office space (distinct document) will be reviewed on an annual basis.
 - a. Metrics will be used to determine an appropriate amount of (wet and dry) lab space for each department.
 - b. Metrics that include a dollars/square foot calculation will exclude dollars that do not impact on-going space needs such as subcontracts, large equipment purchases, research performed at remote locations, etc.
 - c. Departments and centers that occupy more space than the square foot metric allows will need to justify keeping the excess space in writing within 30 days and may, with approval of the SAD/Research, pay an annual fee to continue to occupy that space. If the SAD/Research deems that surrender of the space is necessary for other priorities, then the penalty fee option may not be extended. Space penalty fees will be imposed by the SAD/Research per the predefined metric. If over time the department secures research funding to meet the required metric, then at the time of annual review, the penalty fee will be discontinued. If an appropriate amount of space is being occupied by a newly hired investigator, then that space will not be subject to any space penalty fees for the first 4 years. If space is being held for an active new or replacement faculty recruitment, then that space will not be subject to any space penalty fees for a one-year duration of recruitment. In the event of a failed search of greater than one-year duration (starting at the time of Dean's Office position approval), that space will revert to the standard allotment of that unit's container. The department may however submit written justification to the SAD/Research for further consideration if a new search is anticipated.
 - d. In order to avoid penalty fees a department may choose to surrender space to the College. The space to be surrendered must be approved by the SAD/Research. If appropriate space is surrendered, then there is no fee penalty imposed.
 - e. Labs that are vacated due to investigator departure, termination or other events will revert to the SAD/Research in the Dean's Office. When a lab is vacated the Dean's Office will be notified. The unit head will then have 30 days to present written justification as to why said space should remain in his/her allocation. This rationale will be reviewed by the SAD/Research and the Space Advisory Group will be consulted at the discretion of the SAD/Research to approve or deny said request.

- f. If a department has inadequate space, then a request for additional space with detailed justification may be submitted to the SAD/Research for consideration. Exceeding the research funding per square foot metric is not by itself adequate justification. Requests to the SAD/Research Office by a unit head to acquire additional space will require:
 - i. The extent and type of space needed.
 - ii. Justification for the request including documentation that all other space in the department is being used efficiently including space allocated for more than one purpose.
 - iii. A “business plan” associated with the additional space.
9. New faculty recruitments that require wet/dry laboratory space outside the given unit’s space allocation may not proceed without consultation and approval from the SAD/Research’s Office.
10. The SAD/Research will share in writing the annual space utilization performance metrics for each unit with its Chair/Director and the Dean of the Larner College of Medicine.
11. The SAD/Research is charged with securing laboratory space to serve as a shared incubator laboratory resource for new faculty researchers and investigators in transition.
12. Space penalty fee dollars that are accrued by the College of Medicine may be used at the discretion of the SAD/Research.
13. These policies are effective immediately and will be reviewed annually by the Space Advisory Group and the Dean.

Appendix

The guidelines noted above are intended to provide a broad structural overview to the allocation of space to departments from the SAD/Research, representing the LCOM. Additional elements of research performance and research award dollar accounting may be appropriate to consider, in a non-formulaic way, as space is allocated to departments from the Dean's Office as well as within departments or centers to individual investigators.

A. College of Medicine Space Allocations to Chairs/Center Directors

1. Individual faculty awards/grants can be accounted only once. The award dollars will be included in the metrics of the unit in whose space the PI conducts his/her research. If the space occupied by the investigator falls within the space container assigned to a unit other than their home department those dollars will only be counted in the space in which it is conducted.
2. Different research programs have different laboratory space requirements. As an example computational or policy research have limited need for bench laboratory space. Laboratory and associated office space will be assigned proportional to these programmatic requirements.
3. Large center grants (ex. PO1) often include multiple RO1 equivalent investigators from departments distinct than the overall project PI. In these circumstances the credit for the PI department, reflecting the cores, may be overstated and the credit for the contributing departments may be understated. This should be considered in overall space allocation.
4. Large pieces of equipment or other special equipment-based needs can be examined for specific space allocation.
5. These guidelines are not intended to cover laboratory space allocation associated with Dean's Office supported core laboratory activities. Core laboratories will be defined by the SAD/Research based on multidisciplinary use and Dean's office financial support and independent space will accordingly be allocated.
6. Thematic organization and proximity will be viewed to the extent feasible as a high priority in space assignment.

B. Chairs/Center Directors to Individual Faculty

1. Startup packages should include physical space allocation in the absence of a track record of productivity. For junior faculty this will most often be shared space in a mentor's laboratory or an incubator laboratory.

2. There may be a need for co-localization of faculty within departments, programs and centers.
3. Investigators submitting new grants, where additional laboratory and/or office space is anticipated, must have these requests specifically and clearly vetted through the department chair, or designee, prior to SPA submission. These requests for new space should be submitted at least 30 days ahead of the proposal deadline to allow adequate time to identify the space needed to meet the requests. If the department does not have adequate space resources to meet the planned needs of the proposed grant, a departmental representative must discuss the need for additional space allocation with the SAD/Research before the proposal will receive Dean's office approval for submission.
4. Departments and centers can consider many elements in formulating their space allocation plan. These include, but are not limited to, peer review publication activity and indirect cost recovery.
5. Individual faculty members should not expect exact matches between direct research dollars generated and space allocated for their programs.