

# UAB Heersink SOM Space Utilization Policy: Wet and Dry Lab

## **Mission Statement:**

To provide the optimal professional environment for outstanding performance in execution of the Heersink School of Medicine strategic goals in research, education, and patient care.

## **Purpose:**

Provide guidance to Heersink School of Medicine Departments for allocation and management of research and related office space consistent with effective stewardship for research, teaching and the interface with clinical research. Governance of the space will follow HSOM established model of assignment of research space to administrative units, with annual reviews to monitor compliance with metrics related to financial support and occupancy. These policies will be subject to review on a periodic basis and at a minimum annually.

## **Metrics:**

To ensure efficient use of research-intensive space metrics, a combination of parameters that relate to occupancy and research funding (direct costs) will be used. These are defined below and will be applied in consultation with the HSOM Dean's Office and the leadership to whom the space has been assigned and are responsible for meeting the targets defined within the policies. The design, age and condition of the HSOM research buildings vary considerably across the portfolio, which will be taken into account when reviewing space utilization.

## **Occupancy Metrics:**

Building Occupancy is an important parameter that integrates measures of efficiency/financial goals with local differences in space design across the HSOM. The "occupants" which are used in this calculation are the FTEs (i.e., graduate students, research staff and post-doctoral fellows) who are performing research in space allocated to a Principal Investigator. The research space allocated to Faculty who are not PIs will be determined with discussion with department administration to define the appropriate space allocation, if any, for these individuals. Factors that may be considered are assigned funding and degree of independence. The occupancy is defined as the number of FTEs that can be accommodated within a defined research area, considering the intrinsic design and condition of the laboratory space. From a practical standpoint, 75% occupancy is a desirable goal, allowing efficient and flexible use of the space. Departments and Divisions are recommended to populate a given floor with a mix of faculty at different career stages and levels of funding to provide an optimal training/mentoring environment.

**Funding Metrics – Wet/Dry Laboratory: It is important to note that if funding metrics are met, then before new space is allocated, the occupancy metrics must also be met. The emphasis is on having the optimal laboratory space to achieve functionality for the research faculty.**

## **Space Assignable to Investigators:**

This includes all research laboratory, research lab service, non-PI offices, and computational research space. The designated administrative unit which is the current custodian of the space will be accountable for managing, accounting and assigning space both specifically assigned to Principal Investigators and common areas, consistent with the space policies. **Not included** in the calculated inventory is the PI office, vacant space held for recruits, conferencing, sterilization, cold rooms, cylinder storage or waste. It is recognized that annual space adjustments (up or down) are unsettling, and departments are asked to monitor funding changes over a 2-3 year moving window before implementing changes in space assignment.

## **Direct Costs:**

Data from IRAP are the primary source of funding information (Direct Costs), although it is recognized that these data include most awards, but not all. Most sources of funding awards, including K awards and

fellowships can be included, but with the exceptions noted below. Some awards will have to be determined from other sources and should be provided by the Department, i.e., start-up funds, philanthropy, portions of large institution grants, PPG and Program Grants (see below for additional information). Where funding and project goals are shared among faculty, for example in multi-PI grants an IER distribution agreement must be established before submission of the proposal and be proportional to the % of the work of the project performed in each PI's laboratory. Co-investigator status alone should not be used towards the metric for faculties laboratory since the laboratory space allocation is based upon the need to perform the work in the proposal.

**Large institutional grants, PPG and Program Grants:**

These can be credited to the Department only to the extent that the grant is supporting FTE's performing this research in the allocated space and must conform with occupancy requirements. It is important that the Department demonstrate that the research funds from the above grants is assigned to the research space in which the work is being performed.

**Research Core Activities:**

Space for institutional Cores is managed outside the department by the Institutional core program. Space assignments for other cores that remain in the departmental portfolio will be evaluated based upon service revenues, user base and equipment requirements.

**New Recruits:**

The space commitments at the time of the initial recruit should be consistent with these guidelines to maintain parity with existing faculty and to avoid the need for dramatic adjustments once the initial start-up period has ended (typically 4 years).

Start-up funds can be used in space metric calculations with the following conditions: For those faculty who are being recruited without significant extramural funding (less than \$100,000 DC per year), start-up funds can be credited excluding salary coverage and equipment and will be divided by the period of time defined in the offer letter over which they are used (no longer than 4 years). After this period of time, start-up funds can no longer be applied to this calculation since it is anticipated that the PI will have obtained an independent funding source. Once independent funding is obtained, then the start-up funding allowance is discontinued in proportion to the size of direct costs from the award. For established new faculty with funding, space should be allocated on the basis of DC from extramural funding at the time of recruitment. The start-up allowance for the space metric will be decreased in accordance with this level of funding.

**Philanthropy:**

May be considered if it is funding a defined research program and only for the space in which that research is being performed.

**VA Merit Awards:**

These awards can be included in the metric for annual DC with the portion of the funding used to cover faculty salaries excluded.

**Recruit Space:**

Recruit space will be assigned to the HSOM Dean's office but prioritized to the defined administrative unit (i.e., Departments or Divisions). This will be documented through time-limited MOUs. This space will be move-in ready and include a portion of support space such as cell culture, equipment and write-up stations for FTEs.

**Individual Offices:**

Only faculty should be assigned individual offices. If unassigned office space is available, then this can be assigned on a temporary basis only and the occupant (i.e., Fellow/Post-doc) should be informed in writing that it may be reassigned as needed.

**Multiple Offices:**

Faculty are only allowed to be assigned one office. If a faculty member's office is located in a building different from than their laboratory, the Department should provide them with an unassigned workstation near their laboratory space.

## Exhibit A - Heersink SOM Space Utilization Policy

### HSOM Assignable Square Foot Matrix

| <u>FICM Use Code</u> | <u>Space Use</u>                                            | <u>Not Included in Calculation*</u> | <u>Assignable to Principal Investigator</u> | <u>Assignable to PI, and Department</u> |
|----------------------|-------------------------------------------------------------|-------------------------------------|---------------------------------------------|-----------------------------------------|
| 220                  | Research Laboratory                                         |                                     | x                                           | x                                       |
| 221                  | Computational Research Lab (Workstations Non-PI)            |                                     | x                                           | x                                       |
| a                    | Open Office (Cubical or Carrel)                             |                                     | x                                           | x                                       |
| b                    | Closed Office                                               |                                     | x                                           | x                                       |
| 225                  | Research Laboratory Service (Single PI)                     |                                     | x                                           | x                                       |
| a                    | Equipment Rooms                                             |                                     |                                             | x                                       |
| b                    | Cell Culture                                                |                                     | x                                           | x                                       |
| c                    | Microscopy                                                  |                                     | x                                           | x                                       |
| d                    | Procedure/Fume Hood                                         |                                     | x                                           | x                                       |
| e                    | Support Lab                                                 |                                     | x                                           | x                                       |
| f                    | Other Specialty                                             |                                     | x                                           | x                                       |
| g                    | Lab Storage                                                 |                                     | x                                           | x                                       |
| 225                  | Research Laboratory Service (Multiple PI or Common, Common) |                                     |                                             | x                                       |
| a                    | Equipment Rooms                                             |                                     |                                             | x                                       |
| b                    | Cell Culture                                                |                                     |                                             | x                                       |
| c                    | Microscopy                                                  |                                     |                                             | x                                       |
| d                    | Procedure/Fume Hood                                         |                                     |                                             | x                                       |
| e                    | Support Lab                                                 |                                     |                                             | x                                       |
| f                    | Other Specialty                                             |                                     |                                             | x                                       |
| g                    | Lab Storage                                                 |                                     |                                             | x                                       |
| h                    | Dark Room                                                   |                                     |                                             | x                                       |
| i                    | Sterilization                                               | x                                   |                                             |                                         |
| j                    | Waste Storage                                               | x                                   |                                             |                                         |
| k                    | Gas Storage                                                 | x                                   |                                             |                                         |
| l                    | Cold Rooms                                                  | x                                   |                                             |                                         |
| 310                  | Office (Workstations Non-PI)                                |                                     | x                                           | x                                       |
| a                    | Open Office (Cubical or Carrel)                             |                                     | x                                           | x                                       |
| b                    | Closed Office                                               |                                     | x                                           | x                                       |
| 311                  | Faculty Office (PI)                                         | x                                   |                                             |                                         |
| 315                  | Office Service                                              | x                                   |                                             |                                         |
| a                    | Copy/Print                                                  | x                                   |                                             |                                         |
| b                    | File                                                        | x                                   |                                             |                                         |
| c                    | Locker                                                      |                                     |                                             |                                         |
| 320                  | Office Kitchen (Kitchen/Break/Recycle)                      | x                                   |                                             |                                         |
| 350                  | Conference Room                                             | x                                   |                                             |                                         |
| a                    | Collaborative                                               | x                                   |                                             |                                         |
| b                    | Huddle                                                      | x                                   |                                             |                                         |
| 355                  | Conference Room Service                                     | x                                   |                                             |                                         |
| 575                  | ARP Housing                                                 |                                     | x                                           |                                         |
| W06                  | Corridor                                                    | x                                   |                                             |                                         |

\* **Recruit space can include a number of these space uses. Typical recruit space needs to include Research Lab and proportional research lab service, non-PI workstations.**

**Table 1 – Building Specific Metrics**

| Building                                                                         | Effective Date  | Occupancy Metric                                                                                                                                                                                                                                                                                                                                                                                                                                              | Dry Lab Metric                                            | Wet Lab Metric                                                                                |
|----------------------------------------------------------------------------------|-----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| Kaul                                                                             | July 2018       | A typical bay which includes 2 benches has the capacity to hold 4 FTEs. A bay would then hold 3 FTEs at 75% occupancy. Equipment also plays a role in determining if a bay can actually hold that number of individuals. 3 FTEs per bay should be taken as an <u>average</u> . Undergraduates, interns, summer students, rotation students are not typically included as FTEs for this metric calculation. The metric for dry lab is based on number of FTEs. | <b>The average metric to achieve is \$750 DC per ASF.</b> | <b>The average metric to achieve is \$375 DC per ASF and correlates with 75% occupancy.</b>   |
| McCallum Basic Health Sciences Bldg (MCLM)*<br><br><i>*Renovated floors only</i> | Upon completion | Renovated McCallum includes an open laboratory design with rows and perimeter benching. FTEs have write-up space outside the laboratories. If those spaces are filled, there are options within the laboratory to seat more individuals. A typical bay can hold 5 individuals; 4 in the row and 1 on the perimeter. At 75% there should be a minimum of 4 individuals per row on average.                                                                     | Not Applicable                                            | <b>The average metric to achieve is \$500 DC per ASF which correlates with 75% occupancy.</b> |
| Pittman Biomedical Research Building (PBMR)                                      | October 2018    | A typical bay which includes 2 benches has the capacity to hold 4 FTEs. A bay would then hold 3 FTEs at 75% occupancy. Equipment also plays a role in determining if a bay can actually hold that number of individuals. 3 FTEs per bay should be taken as an <u>average</u> . Undergraduates, interns, summer students, rotation students are not typically included as FTEs for this metric calculation.                                                    | Not applicable                                            | <b>The average metric to achieve is \$375 DC per ASF which correlates with 75% occupancy.</b> |
| Shelby Biomedical                                                                | February 2019   | A typical bay which includes 2 benches has the capacity to hold 4 FTEs. A bay would then hold 3 FTEs at 75% occupancy. Equipment also plays a                                                                                                                                                                                                                                                                                                                 | Not applicable                                            | <b>The average metric to achieve is \$375 DC per ASF which correlates with 75% occupancy.</b> |

|                                                                      |               |                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                           |                                                                                               |
|----------------------------------------------------------------------|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| Research Building (SHEL)                                             |               | role in determining if a bay can actually hold that number of individuals. 3 FTEs per bay should be taken as an <u>average</u> . Undergraduates, interns, summer students, rotation students are not typically included as FTEs for this metric calculation.                                                                                                                                                                                                  |                                                           |                                                                                               |
| Volker Hall 1 <sup>st</sup> and 2 <sup>nd</sup> floor Research Tower | February 2019 | A typical bay which includes 2 benches has the capacity to hold 4 FTEs. A bay would then hold 3 FTEs at 75% occupancy. Equipment also plays a role in determining if a bay can actually hold that number of individuals. 3 FTEs per bay should be taken as an <u>average</u> . Undergraduates, interns, summer students, rotation students are not typically included as FTEs for this metric calculation.                                                    | Not applicable                                            | <b>The average metric to achieve is \$375 DC per ASF which correlates with 75% occupancy.</b> |
| Wallace Tumor Institute (WTI)                                        | July 2018     | A typical bay which includes 2 benches has the capacity to hold 4 FTEs. A bay would then hold 3 FTEs at 75% occupancy. Equipment also plays a role in determining if a bay can actually hold that number of individuals. 3 FTEs per bay should be taken as an <u>average</u> . Undergraduates, interns, summer students, rotation students are not typically included as FTEs for this metric calculation. The metric for dry lab is based on number of FTEs. | <b>The average metric to achieve is \$750 DC per ASF.</b> | <b>The average metric to achieve is \$375 DC per ASF and correlates with 75% occupancy.</b>   |