

### Campus Administrative Policy

**Policy Title:**           **Research Space Policy**

Policy Number:   3038                      Functional Area:    General Administration

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Prepared by:                                University of Colorado Anschutz Medical Campus  
  Space Committee

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Responsible Officer:                      University of Colorado Anschutz Medical Campus  
  Space Committee

Applies to:                                 CU Anschutz Medical Campus

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#### **A. INTRODUCTION**

This Space Policy is designed to support and advance the strategic research priorities of the University of Colorado Anschutz Medical Campus (the campus) and its schools, colleges and units. The policy institutes objective criteria for the allocation of research space by the campus to promote optimum utilization of space in existing, renovated and new facilities. It provides the decision-making structure and criteria utilized in allocating research space. This policy applies to all school, college and unit research space that is owned and/or managed by the University of Colorado Anschutz Medical Campus, both on and off campus. Non-research space is not covered by this policy.

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## C. DEFINITIONS

1. Assignable Square Feet (ASF) – The space in a building that occurs within a room—from interior wall to interior wall—that can be assigned to an occupant. Excluded are building spaces such as restrooms and circulation spaces (corridors, stairs, and elevators).
2. Building – A roofed structure for the permanent or temporary shelter of persons, equipment, animals, plants, etc.
3. Compliance Plan – A school, college or unit is required to submit a Compliance Plan to the Research Space Committee when research productivity standards are not met for two consecutive fiscal years. The plan outlines the steps that will be taken to raise research productivity numbers so they meet the established standard, the length of time to achieve compliance and any extenuating circumstances or special factors that should be considered by the Research Space Committee.
4. Facilities – Any property, including buildings, that is controlled by the Anschutz Medical Campus.
5. Gross Square Feet (GSF) – Include the total area of all floors of a building, including all areas within the outside faces of exterior walls and floor penetrations. GSF also includes all space above and below grade and building structural, mechanical and infrastructure systems, all building circulation, restrooms and support spaces.
6. Inventory – Any periodic, itemized survey of equipment, property and/or space, including functional space allocations.
7. Principal Investigator (PI) – The individual directly responsible for the sponsored project funds supporting space utilized for wet and dry research.
8. Research – As defined in the 2006 Facilities Inventory and Classification Manual (FICM), research is a space category used for laboratory experimentation, research or training in research methods, professional research and observation within a specific program for sponsored research or any other type of extramural funding (whether sponsored with federal or non-federal government, foundation, corporate, private or institutional funds)
  - a. Dry Research: Research conducted in an office-type environment is considered dry research. It is generally not the direct outcome of wet research. It may include such spaces and activities as phone centers, data analysis, bioinformatics, etc.
  - b. Wet Research: Research conducted in laboratory space that is outfitted with fume hoods, lab gases (air, vacuum, and natural gas), sinks, autoclaves, glass washer and specialized HVAC equipment. Wet research space may also contain special purpose equipment, such as bio-safety cabinets, incubators,

centrifuges, freezers, microscopes, analyzers, etc. Note that laboratory service space that directly serves one or more research laboratory as an extension of the activities occurring in the laboratory space is also considered wet research space. Examples include tissue culture rooms or separate microscope facilities. Also, the PI's office is considered an extension of the activities occurring in laboratory space.

9. Research Space – Research space is any area on or off campus within any building controlled by the campus that has not been specifically excluded from the calculation methodology (such as educational space). Further space exclusions are defined in Appendix A.
10. Research Space Productivity – A metric that provides a common measure to determine research space productivity campus-wide, using financial and space data compiled annually by the Office of the Vice Chancellor for Administration and Finance.
11. Room – An interior building space generally defined by permanent walls, floor, ceiling and doorway. Floor-to-ceiling height of a space may vary but cannot be less than 6' to qualify as a room.
12. Unit – For the purpose of this policy, a unit is a subset of Anschutz Medical Campus operations. A unit may be a department, division or other distinct operational activity/entity, such as a center or institute.
13. WebSpace – WebSpace is the official University of Colorado Anschutz Medical Campus space database of record. It is the software application used by the campus to maintain an accurate and timely inventory of space.

#### **D. POLICY STATEMENT**

1. Principles of Allocation – Strategic allocation of space is an important component in achieving the goals of the campus. There are several goals or principles for allocating the limited research space of the campus.
  - a) Ownership. All space owned and/or managed by the campus is retained by the university; research space allocations by university leadership do not imply a permanent obligation or ownership, but rather current commitments based upon program priorities and continued program space justification.
  - b) Reassignment of space. Research space is assigned to a school, college or unit for a specific purpose. When that purpose is no longer required or when less space is needed, the space should be internally reassigned to a productive use. When internal reallocation is not possible, the space must be returned to the campus' central pool and made available for another productive purpose.
  - c) Flexibility. Where possible, research space should be designed to be adaptable, since needs change, and to promote interdisciplinary cooperation, collegiality and synergy in the research enterprise.
  - d) Original Building Purpose Honored. When space is being reassigned, the original purpose of the facility (and any formal process that results in a change

to that purpose) must be considered. For example, the intent of donor(s) who funded the building or space must be considered. If change to the purpose is needed, a formal process involving consultation with donor(s), if possible, is required.

- e) Cross-Disciplinary Clustering. Whenever possible, the clustering of cross-disciplinary programs with common research or teaching interests should be considered.

2. Responsible Offices – Authority over all university space rests with the Chancellor of the Anschutz Medical Campus or the Chancellor’s designee. There are two committees with responsibility for the allocation of campus space.

- a) Executive Research Space Committee – This committee has the final decision making authority for campus-wide research space allocation on a school, college and unit basis. It approves recommendations from the Research Space Committee concerning: (a) disputed assignment or re-assignment of space between schools, colleges and administrative units; (b) plans to increase utilization and productivity of current space based on periodic reviews of campus space inventory and allocations; and (c) guidelines and standards for building design and space requests. The Chancellor determines the composition of this committee.
- b) Research Space Committee – The Research Space Committee advises the Executive Research Space Committee and handles most routine space allocations. It recommends changes to the campus Research Space Policy as needed, approves each school, college and/or unit Research Space Policy and approves all school, college and/or unit Research Space Productivity Compliance Plans. If the Committee does NOT approve the Compliance Plan, the school, college or unit may revise and resubmit. If the Committee does not approve the revised Compliance Plan, it may re-allocate the research space under review. The Committee shall also develop and publish additional research space guidelines, as needed, as well as additional guidelines for research space in building design.
  - i. Membership – The Research Space Committee’s voting members are the;
  - ii. Provost and Vice Chancellor for Academic and Student Affairs, who serves as chair;
  - iii. Vice Chancellor for Administration and Finance;
  - iv. Vice Chancellor for Health Affairs;
  - v. Vice Chancellor for Research;
  - vi. Chief Research Officer (or designee), Children’s Hospital Colorado;
  - vii. Dean (or designee) from each of the six Schools or Colleges; and
  - viii. Associate Dean (or Dean’s designee) from each School or College.
- c) One or more ex officio members may be appointed from the Office on Institutional Planning and/or the Office of the Vice Chancellor for Administration and Finance to provide support to the committee. As needed, other non-voting individuals may be asked to advise the committee on a

meeting-by-meeting basis.

- d) School, College and Unit Space Allocations – Each school, college or unit must develop a research space policy for its own use consistent with this campus policy and its allocation principles and approved by the Research Space Committee. Once space is allocated, the deans and vice chancellors (or their designees) are responsible for research space assignment within their respective units. The goal is to base decisions on their strategic needs and priorities in order to achieve maximum research productivity.
- e) Space Requests – Requests for additional research space above the existing total allocation at the school, college or unit level must be made by an individual authorized by the dean of the school or college or by the vice chancellor of a particular area to the Research Space Committee for consideration and approval.
- f) Campus Space Inventory – The Office of the Vice Chancellor for Administration and Finance (VCAF) is responsible for maintaining an accurate and complete inventory of space. Schools, colleges and units are responsible for providing accurate space information to VCAF on an annual basis. The software used for the space inventory is WebSpace. WebSpace information is used for Facilities & Administration Cost Rate proposals to federal agencies, research productivity calculations, accreditation, operational and resource planning, and internal cost allocations.

### 3. Productivity Measurement and Compliance Process

- a) A metric, adopted by the Research Space Committee, provides a common measure for determining research space productivity across the campus using financial and space data compiled by the Finance Office. This metric is based on actual research expenses (direct and indirect costs) incurred per assignable research square footage. The components of the calculation and methodology are detailed in Appendix A. This productivity measure is generated by the Finance Office and will be provided to the Research Space Committee and to each school, college and administrative unit annually.
- b) Compliance Plan
  - i. Any school, college or unit that falls below one or more of the research productivity standards for two consecutive fiscal year reporting periods is required to develop a written Compliance Plan and to submit it to the Research Space Committee within THREE (3) months of receiving the productivity data for that second fiscal year. The Compliance Plan should include the following:
    - o Steps that will be taken by the school or college or unit to raise its productivity numbers to meet all established research productivity standards.
    - o The length of time being requested to achieve compliance (normally not more than 2 years).
    - o Any extenuating circumstances or special factors that should be considered as part of the Compliance Plan. Extenuating circumstances

include: loss of productive investigators in small units that materially change research productivity in the short run; new or developing programs or units that require a start-up period before research space efficiency can be met; assignment of inefficient space, such as older buildings with inclusion of large hallways, unusable basement space, larger-than-needed offices, etc.; and other extenuating circumstances that may arise. The Research Space Committee should consider the overall level of productivity as well as its change over time in making its evaluation of the submitted Compliance Plan.

- c) The Research Space Committee may approve, approve with modifications or deny the terms of the Compliance Plan. If a plan is not approved initially, the unit may resubmit a revised plan within 30 DAYS of its initial denial. Once a plan is approved, the school, college or unit must raise productivity to the level specified in the plan within the time specified in the plan.
  - d) If the school, college or unit fails to satisfy the terms of the Compliance Plan, the Research Space Committee shall make a recommendation to the Executive Research Space Committee concerning reallocation of the relevant research space.
  - e) Once the school, college or unit has satisfied the terms of the Compliance Plan or has its space inventory reduced, it starts a new two (2) year reporting period.
4. Leased Space – Under certain circumstances, the Research Space Committee, if unable to fulfill a space request, may direct an Anschutz Medical Campus program that requests space to lease off-campus space. Situations warranting leasing includes, but are not limited to:
- a) Lack of available or appropriate University-owned space,
  - b) Unique adjacency requirements necessitated by an Anschutz Medical Campus affiliate program,
  - c) Need to provide community-based research, education or service, or
  - d) Indeterminate program scope, i.e., a program that is in initial start-up phase.

In such cases, the program's dean (or designee) or the Research Space Committee will direct the program to work with the Finance Office Real Estate Coordinator who will assist in contacting and coordinating with the State's contracted real estate broker to ensure that the program's needs are met in an efficient and economical manner. Funding must be identified from an allowable source prior to executing the lease.

## Notes

- 1. Dates of official enactment and amendments:  
March 20, 2003: Adopted by Vice Chancellor for Finance and Administration  
March 1, 2015: Revised  
May 22, 2019: Modified

2. History:  
May 22, 2019: Modified to reflect a Campus-wide effort to recast and revitalize Campus policy sites into a standardized and more coherent set of chaptered policy statements organized around the several operational divisions of the university. Article links, University branding, and formatting updated by the Provost's office.
3. Initial Policy Effective Date: March 20, 2003
4. Cross References/Appendix: N/A

## APPENDIX

### University of Colorado Anschutz Medical Campus Research Productivity – Methodology and Standards

Research Productivity is a calculation used to determine how efficient research space is utilized on the Anschutz Medical Campus when compared to established benchmarks. Research Productivity is calculated annually by the Finance Office and the results are reviewed and approved by the applicable school/college or unit and the Research Space Committee. Based on the results of the analysis, space may be reallocated within, or transferred away from, a school/college or unit if the applicable benchmarks are not consistently met. At the close of each fiscal year, campus departments are required to update WebSpace to confirm the space assigned to their unit within a school/college. The Finance Office coordinates this exercise.

The information obtained from WebSpace, in conjunction with actual expenses generated in the applicable space, is used to calculate the research productivity at the school/college or unit level using the following formula:

$$\frac{\text{Indirect Expenses plus Direct Expenses minus Adjustments}}{\text{ASF Space (On/Off Campus) minus Exclusions}}$$

Once the initial calculation is performed, the Finance Office provides the information to the applicable dean (or designee) for review and approval. After the school/college or unit has approved the calculation, the results are sent to the Research Space Committee for final approval.

The Research Space Committee has set a research productivity standard of \$330 per assignable square foot (ASF) that should be generated at the school/college level. For those schools/colleges or units that have been identified by the Research Space Committee as predominately dry research, the research productivity standard has been set at \$500 per ASF. The Research Space Committee has the authority to modify the productivity standards. Listed below are the items included in the wet research and dry research productivity calculation for the numerator (expenses) and the denominator (space):

#### **Methodology:**

EXPENSES (numerator):

Starting Point Final Grants & Contracts Funds 30/31(All Sponsors) Fiscal-Year Expenditures Report – 6/30/XX

#### Exclusions:

1. Transfers – Any remaining monies from fixed-price closed clinical trials and/or contracts with no further restrictions. These funds are transferred to the Auxiliary Fund (fund 26) and are considered below in the Additions section.
2. VA Medical Service Agreements – These are agreements for specialty clinical services (e.g. reservation of a physician's time). No F&A is collected and the



- work is performed off campus.
3. Sub-Contracts in excess of \$25,000 – As the work is subcontracted to an off-campus entity, the federal government only allows the collection of F&A on the first \$25,000 of research expenditures. Any subcontract expenditures greater than \$25,000 are exempt from F&A and excluded from the analysis.
  4. Community based programs in leased space (e.g. Psych - ARTS, Project Safe, etc.)
  5. Expenses identified to home school that occur in another school/college or unit's space.

Additions:

1. Fund 34 Gift research expenditures. Gift funds that have been restricted by the donor for research. Related general ledger speedtypes must contain one of the following attributes: R, R1, R2, R3, RF or RO.
2. Research related Start-up Funds – Faculty start-up expenditures that include any type of Academic Enrichment Funds (AEF) in the school/college. This also include funding from the Children's Hospital Colorado Research Institute recorded in Fund 35.
3. Auxiliary Fund (fund 26) – Closed Clinical Trials/Contract Residuals and Royalties – These expenditures represent monies transferred in from Fund 30 related to closed clinical trials and fixed price contracts that had no further restrictions. This fund group also includes royalty monies transferred in from Tech Transfer. It is assumed that these monies are used for research expenditures.
4. Mandatory Cost Share.
5. Expenses identified to another school that occur in the home school.

SPACE (denominator):

Starting Point Web-Space as of 6/30/XX – The Finance Office annually coordinates the departmental process of confirming campus space allocations (assignable square feet – ASF) via an online web process. Includes off-campus space.

Exclusions:

1. Dean's Office Space – Space for administrative purposes only and does not generate F&A.
2. Education Space – Space allocated only for educational activities and any unique classroom space.
3. Clinical Services – On-campus space allocated to patient standard of care services such as treatment. Includes exam rooms and the related supporting space (e.g. patient waiting room, supply rooms, etc.)
4. Community based activities in leased space (e.g. SOM - ARTS, Project Safe, etc.)
5. Auxiliary ASF that is already being assessed space charges through the General Infrastructure Recharge (GIR) process by Finance.
6. On-campus faculty offices where occupant's salary is greater than 50% funded by clinical services.