

## LABORATORY SPACE ALLOCATION AND REVIEW POLICY

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*Responsible administrator: Associate Dean for Research (ADR), Division of Research (DoR) HSOP*

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### **Introduction**

Research space in the Harrison School of Pharmacy (HSOP) is a valuable commodity. As the number and size of research programs continue to grow in accordance with the HSOP Strategic Plan, it is essential that we utilize space as wisely and efficiently as possible.

The ability to sustain high quality research within HSOP will depend on the retention of our finest faculty investigators as well as the recruitment of outstanding new faculty. A balance must be struck between supporting the growth of individual research programs and the ability of HSOP to garner notoriety for flagship programs coupled to exemplary research expertise and research training. The ability to achieve this balance requires that we establish effective guidelines for resources support, especially when limited, including policies and practices on laboratory space allocation.

The Laboratory Space Allocation and Review Policy is designed to provide balance, consistency, and allow flexibility in the consideration of laboratory space allocation. The policy gives priority for laboratory research space to those faculty with peer-reviewed, investigator-initiated, active external funding containing full indirect cost recovery with key personnel whose salaries are recovered in accordance with effort. It also seeks to eliminate the inappropriate use of laboratory research space for non-research activities or projects that do not require such facilities. Under this policy, the Dean, Associate Dean for Research (ADR), department/division heads, and directors of research-mission intensive, duly sanctioned centers are charged with the accountability for implementation and enforcement of guidelines. Continuous oversight and review of space allocation and actions is provided by the HSOP Laboratory Space Allocation and Review Committee (LSARC).

### **1. AUTHORITY OVER HSOP LABORATORY SPACE ALLOCATION**

The Provost: Responsible for all space allocation to schools/colleges/units/centers.

The Vice President for Research and Economic Development: Supports and promotes research activity at the university, integrates research into the academic mission of the university, ensures it is compliant with university and government regulations, and consults on research space needs with the Provost. The Vice President for Research and Economic Development is also the steward of research space allocated to schools/colleges/units/centers.

The Dean: Responsible for designating and assigning all HSOP laboratory and research-designated spaces. Assignments are made by the Dean to the unit leaders and not to individual faculty members. Department/division heads and center directors assign space to individual faculty members.

Associate Dean for Research: The ADR advises the Dean on research space allocation strategies and oversees practices and policies. The ADR is the steward of research space allotted to HSOP. The ADR, through the Division of Research (DoR), may also provide oversight of common research spaces and space to make available for leasing by eligible, outside entities. The DoR coordinates research

compliance oversight for all research spaces and laboratories and can initiate sanctions for misuse or non-compliant use of spaces.

HSOP LSARC: LSARC functions as a standing HSOP committee and is charged with the oversight and implementation of the Laboratory Space Allocation and Review Policy as described in this document. The LSARC is comprised of the department head (or a designated, associate department head) from each HSOP academic department (n=3), designated center directors (n=variable), non-administrative research-active faculty (n=3-4), and the Pharmaceutical Sciences Research Operations Mgr. (n=1). The committee is appointed annually through the regular HSOP committee assignment process (carried out by the HSOP Executive Committee). The ADR serves as the chair of the committee. The LSARC reviews allocations of all research space annually, petitions by faculty for space changes (e.g., increased space, changes in qualitative function of space, and/or changes in location of space), and reviews and votes on proposed changes to space assignments submitted by department/division heads and/or center directors. Space assignments are reviewed against the criteria set forth in this document. LSARC approval is required for initial space assignments to new faculty. LSARC recommends changes in existing assignments as deemed necessary to remain within the guiding principles set forth in this policy during the routine annual review. All LSARC decisions require a 2/3 majority consent vote.

Authority Flow Summary: HSOP Dean assigns all space to research unit administration » units allocate space directly to individual faculty per policy guidelines » LSARC reviews and approves new and renewal allocations on an ongoing basis as well as in response to ad hoc requests.

## 2. ALLOCATION OF UNIVERSITY INSTITUTES SPACE

Official institutes constituting multidisciplinary contributions from different schools and colleges including outside entities in collaboration with Auburn University may be supported by Auburn University and research space allocation from HSOP may be necessary. This is typically done for strategic importance and extramural grant purposes. The space designated by the Provost or deferred to the Dean for designation for these institutes does not fall under the purview of regular HSOP LSARC review, although the Dean may consult LSARC for guidance.

## 3. ALLOCATION OF INDIVIDUAL LABORATORY SPACE

Eligibility: Faculty members defined as category 1 principal investigators (P.I.) at Auburn University (<https://cws.auburn.edu/shared/files?id=159&filename=eligibility.pdf>) may be considered for *independent* space.

Amount of Laboratory Space: A faculty P.I. working with one qualifying extramural grant/contract is eligible for appropriately sized, basic outfitted laboratory space (approx. 300 to 1,000 sq. ft. of total space). As the prevailing guideline, priority will be given to a faculty member who is the P.I. on an externally funded, investigator-initiated, peer-reviewed grant with direct costs of at least \$50,000 per year for at least a two-year project period (equivalent to an NIH R03 grant) AND recovers full indirect costs at the Auburn University research rate. Priority may also be given to a faculty member serving as the P.I. on a duly executed contract with an extramural entity having direct costs to HSOP of at least \$100,000 AND recovers full indirect costs at the Auburn University research rate. Additional space (above basic levels) may be allocated to a faculty member if justified by total funding levels and the type of research. In general, a P.I. with multiple grants, or multiple projects having qualified levels of support

may request additional space as appropriate for the project(s), with the support of his/her unit leader. The LSARC is responsible for reviewing and approving all such requests. Space adjustments must be relevant to the project(s) funding and productivity usage. Multi-PI led projects are considered unitary projects, with space allocations to be made on project funding levels and productivity (not based on the number of P.I.s). The following metrics will be used by LSARC to help determine appropriate space allocations:

*Financial measures:*

- Total externally sponsored research funding (direct and indirect costs) (\$) / sq. ft.
- Total research expenditures (direct and indirect costs) (\$) / sq. ft., regardless of funding source
- Indirect costs (\$) / sq. ft.

*Other important measures of productivity to consider:*

- Quality and impact of the research being conducted
- Alignment of the research activity with the strategic priorities of the school/college/unit
- Number of funded students, staff, or post-docs participating in the research
- Proportion of effort dedicated to research (versus instruction or service)
- Proportion of the total research activity supported by external awards
- Type of research conducted in the space (e.g., theoretical, computational, heavy equipment)

New Faculty: Newly recruited junior faculty (assistant professor level) or pre-tenured, mid-level faculty (associate professor at initial appointment) are eligible for an independent laboratory space. In the case of new faculty, the unit leader is expected to assign space already allocated to that unit. The unit leader must work with the Dean on space allocation plans when start-up packages involving space requirements are negotiated. As a condition of independent space assignment, an initially unfunded junior or newly appointed mid-level faculty member must submit an investigator-initiated grant to an extramural funding source within 12 months from the date of hire. At the time of the departmental mid-term, probationary faculty review, space allocation shall be reassessed by the unit leader and as necessary, an increase or decrease in space allocation may be made through the LSARC.

Emeritus Faculty:

Emeritus faculty may be provided with research space at the discretion of the unit leader, if space is available and if the emeritus faculty demonstrates active research that aligns with the programmatic needs and priorities of their unit. Priority for research space will not be given to emeritus faculty, however, unless there is externally funded, active research ongoing.

#### 4. ALLOCATION OF COMMON LABORATORY SPACE

The two types of common space that can be assigned (by the Dean) and allocated (by unit leaders) include: a) space used for common support of all types of research projects in general within that unit (e.g., a departmental research core) or an area used to support a specified HSOP mission, and b) space

used as a multi-investigator laboratory to support more than one faculty investigator conducting individual projects. A unit leader may provide multi-user laboratory space for faculty members engaged in active research, but who no longer meet the criteria for consideration of individual allocation. This includes emeritus faculty. An active research guideline should be evidenced by having at least \$25,000 in research funding (including funds available in any discretionary account) plus 2-3 peer-reviewed publications within the past two years. Oversight of common and multi-user spaces is provided by the respective unit leadership to which that space is assigned. Space utilization within the PRBV is governed by the Division of Research in accordance with PRBV and university policies and AAALAC expectations.

#### 5. REASSESSMENT, REALLOCATION, AND REPURPOSING OF INDIVIDUAL LABORATORY SPACE

In general, all laboratory space allocations will be continually assessed by the unit leaders and the LSARC. Any faculty P.I. who loses external investigator-initiated support and indirect cost recovery (below the set thresholds) will be given 24 calendar months from the last day of the original date of active funding award termination (not from the no-cost extension date) to regain funding before that laboratory space may be reassigned. A faculty member with more than a 24-month lapse in external, peer-reviewed funding will not be assigned an individual laboratory without the approval of the LSARC. Unfunded faculty may be assigned space in a multi-user laboratory as available. The Dean reserves the right to make all final space allocation decisions.

#### 6. OFFICE SPACE

In addition to laboratory space, a faculty P.I. should be allocated personal office space that supports the laboratory's research. Every effort will be made for office space to be contiguous to the assigned laboratory space, but this is not guaranteed. Individual student and/or post-doctoral office space may only be assigned with LSARC review and approval. Office spaces not used for direct support of research laboratory activities, non-research faculty offices, or dedicated instructional spaces, do not fall under the review authority of the LSARC.

#### 7. PROPER LABORATORY SPACE UTILIZATION

Laboratory space is exceptionally expensive to build, renovate, and maintain. It is preferable that laboratory space be assigned only to researchers who need such facilities (e.g., gas supply, vacuum and air supplies, research-grade water and specific drains, enhanced ventilation systems, chemical and biological safety hoods, etc.). Every effort will be made to accommodate requests for contiguous space for either programmatic or unit needs, but that may not always be possible. No viable laboratory space may be used for storage only purposes.

#### 8. EXCEPTIONS

From time-to-time exceptions may arise to these guidelines. All requests for exceptions must be submitted in writing to the LSARC through the unit leader and approved by the Dean.