

# University of Connecticut Health Center

## Space Management Policy

### I. Preamble

University of Connecticut Health Center (UCHC) physical facilities, like its personnel, funds, and equipment, are resources that must be managed and maintained in accordance with certain rules and regulations and in a manner that contributes most toward fulfilling the University's mission and priorities. Space is allocated on the basis of programmatic need as well as clinical, research, academic and administrative priorities, and may be reallocated if those needs or priorities change. This policy sets forth space management responsibilities, describes factors to be considered in the analysis of new space requests, and specifies certain space inventory reporting requirements

### II. Control of Space

Authority to establish institutional space policy and to assign or reassign all Health Center space is vested by the University of Connecticut Laws and By-Laws in the Executive Vice-President for Health Affairs for all units within the University of Connecticut Health Center. Space may be temporarily assigned to units or individuals through written agreements as described within the institutional and major unit space policies or held by the Executive Vice President for Health Affairs. When such agreements terminate or in times when the Executive Vice President determines there is an overriding institutional need, the space reverts back to the Executive Vice-President for re-assignment.

### III. Management and Assignment of Space

Space is an institutional resource that must be effectively and efficiently managed. Specific responsibilities for the management of space include: the assignment of space; the resolution of space problems; verification that space is being used for the purpose specified; the alignment of the use of space to the institution's mission and priorities, and prompt reporting of changes in assignment, use, or configuration of space.

#### A. Space Management Committee (SMC)

The Executive Vice-President will appoint a Space Management Committee (SMC). The SMC is responsible for:

1. Developing and maintaining an accurate and up-to-date database on all space use and assignments including any identified productivity measures that have been established (example: extramural support per square foot). Once developed and/or when modified, such measures will be attached to this policy. This database will be the official source for all space reports. Maintaining this database will be the responsibility of the Campus Planning, Design and Construction (CPDC) unit and may require periodic auditing of space assignments and usage.
2. Developing the criteria used to determine if the use of space is appropriately aligned with the institution's mission and priorities. Once developed and/or modified, such criteria will be attached to this policy.
3. Serving as the designated holder of 'swing' space and making temporary assignments to such spaces as deemed necessary.
4. Developing a standardized process for making requests for new space, including requests for new buildings, renovations of existing space, leases or simple moves. A description of this process will be attached to this policy.

5. Facilitating communications between units as to their use of space and space needs in order to encourage the most appropriate alignment of space usage to the institution's mission and priorities.
6. Re-assessing unit space assignments on an annual basis in order to ensure the most appropriate alignment of space usage to the institution's mission and priorities and to ensure that no 'stockpiling' of space is taking place. This will take place on a calendar year basis in order to facilitate space planning in synchrony with the development of the UCHC budget.
7. Substantiating that adequate funding is available for the building of new space, renovations, moves, and the operation and maintenance of such space.
8. Substantiating that adequate space is available to support the hiring of new employees.
9. Developing and maintaining a space strategic plan for UCHC.
10. Implementing the UCHC portion of the UConn 21<sup>st</sup> Century Project and all future capital projects (>\$500,000) affecting the physical facilities.
11. Monitoring the efficient use of space within the institution's major units.
12. Providing recommendations on an annual basis to the Executive Vice President regarding how space should be assigned/re-assigned to the major units in the Health Center: School of Medicine, School of Dental Medicine, Clinical Systems, and Central Administration. Recommendations may also be provided on an ad hoc basis at times when the Executive Vice President determines there is an overriding institutional need or as situations dictate.
13. Providing recommendations to the Executive Vice President regarding when and how to lease space for UCHC space needs.
14. Providing recommendations to the Executive Vice President regarding rental fees for space owned by the Health Center.
15. Reviewing and approving the space policies of each of the major units to ensure they are consistent with the institutional space management policy.

The SMC may assign these responsibilities to officers and staff of UCHC, as it deems necessary.

Each major unit and department within them will be responsible for establishing its space management procedures. Major units may develop their own space policy that must be compliant with this institutional policy.

Voting membership of the SMC will be the following (or his/her designee):

- UCHC Chief of Staff – Chair of the SMC
- Dean, School of Dental Medicine<sup>1</sup>
- Dean , School of Medicine<sup>2</sup>
- Associate Dean for Research Planning and Coordination, SOM

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<sup>1</sup> If one person holds the positions of EVP and Dean of the SoM or SODM, then the Dean for Academic Affairs and Education from that School will fill this seat on the SMC

<sup>2</sup>. Same as 1.

- Associate Dean for Research, SoDM
- Associate Dean for Clinical Affairs<sup>3</sup>
- Director, John Dempsey Hospital
- Chair, SoDM Faculty Council Representative or equivalent
- SOM representation to be determined by process in new School of Medicine By-laws
- Chief Financial Officer
- Chief Administrative Officer

#### B. Assignment and Reassignment of Space

1. Executive Vice President - On a fiscal year basis, the Executive Vice President will assign space to each of the major units. These assignments will be documented. The SMC will provide recommendations to the EVP regarding these assignments and these recommendations will be based on standards (provided as attachments to this document) designed to ensure that space is appropriately aligned with the institution's mission and priorities<sup>4</sup>. Such assignments will typically be for a single year. In special cases, multi-year assignments may be made (for example, in support of a recruitment, to obtain a multiyear grant or when multiyear funding can be demonstrated), but never may exceed 5 years. Additional assignments may be made during the year in order to assign space not previously assigned to a unit. When such assignments terminate or in times when the Executive Vice President has determined there is an overriding institutional need, the space reverts back to the Executive Vice-President for re-assignment.
2. Major Unit Heads (School of Medicine; School of Dental Medicine, Clinical Systems and Central Administration) – The ultimate responsibility of operating the major units lies with their unit heads. Therefore, once space is assigned to a major unit for a period of time, the use of such space and/or policies related to that use should remain under the jurisdiction of that major unit so long as it complies with institution level policies. To ensure consistency, compliance, and a broad understanding of how space is handled within UHC, major unit level policies should be reviewed and approved by the SMC and will be attached to the institutional policy.

To meet University requirements for maintaining accurate space inventory records, including room-type categories and utilization, all reassignments of space or changes in function must be reported to the Campus Planning, Design and Construction (CPDC) unit, which provides staff assistance for this function. Major unit heads who have been delegated authority over space assigned to them will identify individuals within their units who will coordinate with CPDC in reporting space inventory changes, verifying the accuracy of data in the inventory database, and assisting with periodic on-site surveys of the space.

3. Department Heads, Center Directors, and Signature Program Heads – it may be the choice of the major unit head to allocate space on a temporary basis to departments, centers, signature programs and/or institutes. The use of such space and/or policies

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<sup>3</sup> If one person holds the positions of Hospital Director and Associate Dean for Clinical Affairs of the SoM, the Director of the UConn Medical Group will fill this seat on the SMC.

<sup>4</sup> The standards (criteria) and/or formula used to determine the allocations of space to the major units are not applicable for the allocation of space to individuals, but may have utility when analyzing departmental use of space..

related to that use should remain under the jurisdiction of the head of such units so long as they comply with institutional and major unit level policies. However, if such space is vacated or in times in which the Major Unit head has determined there is an overriding need, the space reverts back to the Major Unit head. To ensure consistency, compliance, and a broad understanding of how space is handled within the major unit, departmental, center, signature program and institute level policies must be reviewed and approved by the unit head and may be inserted within the major unit policy itself.

4. Divisions, other administrative units or individuals – there is no right for divisions, other administrative units or individuals to assign space. There is an obligation to:
  - a) comply with institution, major unit and department level policies including fully cooperating with the annual space survey, audits, and in reporting all moves or the termination of space assigned to a faculty member, and b) to make good faith efforts in aligning the usage of space to the institution's mission and priorities and to not 'stockpile' space. Allocations of space by major unit or department heads to individuals must be documented in writing, include a description of any requirements associated with such allocation, and should include a signed statement by the individual accepting the terms of the space allocation and agreement to comply with the UConn Health Center Space Management Policy. If the terms of such allocations terminate within the fiscal year, the space will revert back to the major unit head.

#### **IV. Resolution of Space Grievances**

Disputes concerning the assignment/reassignment of space to the major units may be brought to the Space Management Committee with final resolution by the Executive Vice President.

Disputes concerning the assignment/re-assignment of space within each major unit should be resolved using the grievance processes in place for such major units. Grievances should take place in a timely manner and both the grievant and respondent must cooperate with the described process.

#### **V. Planning for the Use of Space**

Space needs and associated costs should be considered along with the need for all other resources in developing resource requests and proposals for new programs or changes in existing programs. The Space Management Committee reviews requests for new space with technical assistance in the analysis of space needs provided by Campus Planning, Design and Construction. The hiring of new personnel should not be approved unless the major unit head attests appropriate arrangements have been made to provide for sufficient space to support such employees.

Space needs are analyzed in the context of the following criteria:

- Campus-wide priorities, applicable long range space plans, and the UCHC Long Range Development Plan;
- Program type (for example, instructional or non-instructional),
- Type of space required (for example, office, storage, or laboratory);
- Whether the space need is temporary or long term;
- Fund source to modify or maintain the space;
- Adjacency factors and the need for contiguous space, support facilities, or access to campus operations.

- Consistency with space model needs projection (FLAD/ZILM space model)
- Revenue/Grant support

Final resolution of requests for new space may be in the form of reassignment, exchange, or improvement of existing space, the development of new space, or the acquisition of off-campus leased space.

Approval of additional space alone does not guarantee that the associated funds will be provided. Accordingly, space planning must be integrated with other resource planning. In addition, space-planning decisions may involve complicated move sequences, alterations, and considerations such as limitations on when moves can occur to minimize programmatic disruption. Thus, it is essential that space needs be planned for as far in advance as possible.

## VI. REFERENCES

1. University of Connecticut Laws and By-laws Article VIII.C, VIII.C.2.m, and V.4.b.1.g.
2. School of Medicine Policy on Space (date), School of Dental Medicine Policy on Space (date), and the Policy on Emeritus Faculty (date).

Approval: \_\_\_\_\_ Date: \_\_\_\_\_

Peter J. Deckers, M.D.  
Executive Vice President for Health Affairs  
and Dean, School of Medicine

Appendix A  
Research Space Policy  
Dollar Density

Research space will be allocated to the School of Medicine and the School of Dental Medicine based on a dollar density formula (see the definitions below). The Space Management Committee will review the target ratio (dollars per square foot) annually and make recommendation to the Executive Vice President what the target should be for the next year. The target for FY 05 is \$260/sq ft and the tentative target for FY 07 is \$300/sq.ft..

The quality of laboratory space may vary depending on room characteristics. The Space Management Committee will develop definitions for such differences (e.g. lab “categories”), assign such definitions to each room, and develop a modifier for each category that will adjust the dollar density equation for such space. For example, in the table below, Category A space (in the Academic Research Building) will be given a modifier of 1.2. Therefore, space will be allocated in the ARB at a rate of \$312/sq.ft. in FY 05, etc.

Category	Modifier	Definition
A	1.2	ARB equivalent space (open design), .095 linear feet of bench/square foot
B	1.0	L building renovated equivalent space, .09 linear feet of bench/square foot
C	.9	L Building and other buildings non-renovated space

Once the allocation has been determined by the formula above, the amount allocated to the School will be 105% of the determined amount. The additional 5% provides the School growth opportunity during the year.

If the total space allocated by the formula exceeds that available in the institution, each school will receive a pro-rated share of the space available (i.e.

$$\frac{\text{School's research } \$}{\text{Both schools' research } \$} \times (\text{Total Space Available} - \text{Space Allocated Directly by the EVP})$$

## Dollar Density Formula and Definitions

$$\text{Dollar Density} = \frac{\text{Adjusted Total Cost}}{\text{Research Space}}$$

**Numerator:**

Adjusted Total Cost (ATC). See definition above.

**Denominator:**

All space coded as research through the space database (FICM series 200) as well as offices, office support, conference rooms and patient care rooms used by or in support of research faculty. Offices, etc. supporting research are based on the FY '03 Facilities and Administration Cost Report and defined as having any expenditure from ledger 5 & 6 accounts.

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**Direct Cost:**

Expenditures actually incurred and charged to a sponsored project, including all salaries and wages, fringe benefits, materials and supplies, services, travel, subcontracts, etc, currently reported through FRS.

**Indirect Cost:**

Additional expenditures on a grant, commonly referred to as Facilities and Administrative cost, provided by an awarding agency; (NIH percentage currently 45%).

**External Dollars:**

Grant Money received from agencies outside the Institution.

**Internal Dollars:**

Grant Money received from Institutional sources.

**NSF:**

Net Square Footage determined through the space database as calculated along the interior perimeter of the space.

**Functionalized NSF:**

As part of the Facilities and Administrative report, the type of work taking place (effort) is documented based on predetermined criteria. The NSF of each space is multiplied against the type of effort to determine the amount of square footage used in the space for each type of function.

**FICM Codes (formerly HEGIS):**

Each space is coded to a particular type based on an industry standard (e.g. Office, Wet Lab, Wet Lab Support, etc.).

**Adjusted Total Cost (ATC):**

Total Direct and Indirect Costs (expenditures) from ledger 5 & 6 (see definition below) adjusted per OMB Circular A-21 to exclude subcontracts in excess of \$25,000.

**Ledger 5 & 6 Accounts:**

Ledger 5 Accounts are federally sponsored projects. Ledger 6 Accounts are sponsored projects from Non-Federal Sponsors, Sub-Contracts, Endowments and Gifts.

(Exclusions: Offices for the School of Dental Medicine Clinical Science department heads and 'major' conference rooms. Major conference rooms are large departmental conference rooms in the ARB or Building 'L'.)

Appendix B

Office Space Policy

The allocation of office space will be based on the standards described in the Fladd report (below). Note that research office space will be provided in the research plan.

Note: non-employed emeritus faculty shall not be included in the space allocation formula (i.e. in the head count total).

FLAD DESIGNATION TITLES	UCHC	FLAD RECOMMENDED		COMMENTS
	CORRESPONDING NSF	OFFICE	LAB	
<b>ACADEMIC</b>	<b>ACADEMIC</b>			
Chairman	Chairman	200	120	
Division Chief	Division Chief	140	120	
Research Faculty	Professor	125	120	
	Associate Professor	125	120	
	Assistant Professor	125	120	
	Instructor	110	N/A	
Faculty				
Emeritus Faculty	Emeritus	0	0	Centralized in Dean's Office
Senior Administrative	Staff Senior Admin Staff	120	0	
Admin Staff/Other	Admin Staff	70	0	
Post Doc/Fellows-Wet	Post Doc/Fellows-Wet	0	137	137 includes working cubicle
Post Doc/Fellows-Dry	Post Doc/Fellow	60	0	
Graduate Student-Wet	Graduate Student-Wet	0	137	137 includes working cubicle
Graduate Student-Dry	Graduate Student	60	0	
Lab Tech/Res. Assoc	Lab Technician	0	137	137 includes working cubicle
Chief Resident	Chief Resident	60	0	
Visiting Scientists		60	137	
<b>ADMINISTRATION</b>	<b>ADMINISTRATION</b>			
Executive	Dean	260	N/A	
Senior	Senior Admin/Chief	200	N/A	
AVP Associate	VP	180	N/A	
Assistant VP	Assistant VP	165	N/A	
Division Head	Dept Head, Director	140	N/A	
Open Office		140	N/A	
Student	Student	60	N/A	
Admin - Private	Senior Admin Staff	120	N/A	
Admin - Shared	Admin Staff	60	N/A	
Clerical - Private	Admin Assistant/Staff	100	N/A	
Clerical - Shared	Admin Assistant	45	N/A	



## Appendix C

### Clinical Space Policy

The current allocation of space will remain constant year to year unless additional space is leased or financed through clinical funds. The space allocated to each of the following clinical units will remain constant i.e. will not be transferred between the clinical sub-units): John Dempsey Hospital, the space within John Dempsey Hospital allocated to the dental clinics, UConn Medical Group and the School of Dental Medicine faculty practice.

## Appendix D

### Policy on Classroom/Auditorium, Public Lobby and Conference Room Space

#### 1. Definitions

- a. Classrooms/auditoria are spaces primarily intended for conducting formal educational sessions.
- b. Conference rooms are spaces primarily intended for meetings of 8 people or more, but at times may be used as workrooms or for educational sessions.
- c. Special capabilities – unique attributes of a classroom/auditorium and conference room that make them unique when compared to other such rooms. These unique characteristics may include the presence of specialized audio-visual equipment, computers and/or computer network ports or wireless access points, distance learning equipment, VIP décor/view, proximity to kitchen facilities, etc.
- d. Special health, safety and security concerns – unique attributes of a classroom/auditorium and conference room, or access way to such a room, that may make it unsuitable for use by members of the public (for example a corridor running through a wet lab or cadaver dissection labs, or a room with an unlocked interior door providing access to such labs, equipment or sensitive information storage)
- e. Room specific use policies – unique policies related to a specific room governing issues such as the consumption of food & beverages, use of the AV/computer equipment in the room, or similar matters.
- f. Public lobbies are corridors, halls or ante-rooms connected with a larger room or series of rooms intended for use as a passageway or waiting area by members of the public:

#### 2. Database

- a. An inventory will be developed and maintained by the Campus Planning, Design and Construction (CPDC) unit of all classroom/auditorium, public lobbies and conference room space. This inventory will include the seating capacity, square footage, special health, safety and security concerns, room specific use policies and a listing of all “special capabilities” of each room.
- b. The Space Management Committee will resolve any disputes over the definition of classroom/auditorium, public lobbies and conference room spaces (i.e. inclusion or exclusion in this inventory) designation of special health, safety and security concerns, or designation of special capabilities assigned to such spaces.
- c. This database will be made available on-line to the UCHC community over the UCHC intranet.

#### 3. Jurisdiction over space

- a. All classroom/auditorium, public lobbies and conference room spaces are under the jurisdiction of the Executive Vice President for Health Affairs.
- b. The Executive Vice President will assign either a single primary user or two co-primary users to each classroom/auditorium, conference room or public lobby. These primary users will have the authority to schedule activities within the designated spaces.
- c. The Executive Vice President for Health Affairs may reassign jurisdiction over classroom/auditorium, conference rooms or public lobbies whenever s/he feels is necessary.

#### 4. Scheduling of Space

- a. Facilities Management will maintain a read-only, on-line calendaring system for classroom/auditoria, conference rooms and public lobbies. This system will be accessible to the Health Center community and will display the scheduled use of each classroom, conference room, auditoria and public lobby. It will also display each room’s attributes (ex/ number of seats), special capabilities, and contact information for the person(s) authorized to schedule the room

- b. Requests to schedule classrooms/auditoria and conference rooms must be directed to those designated with authority over that space. Any scheduled use of these spaces should be immediately posted on the calendar described in item (a) above. Write-access to this calendaring system will be restricted to those parties authorized to schedule each specific space.
- c. Requests to schedule classrooms/auditoria, conference rooms or public lobbies may only be made by Health Center units (departments and divisions, but not as individuals). Non-Health Center units will need a Health Center sponsor to schedule space.
- d. When the Health Center or its clinical units are under emergency operational status, all spaces may be assigned or reassigned by the Hospital Safety Officer, Executive Vice President for Health Affairs, and/of their designees.
- e. The Executive Vice President for Health Affairs may reschedule the use of classroom/auditorium, conference rooms or public lobbies as s/he feels is necessary.

5. Code of Conduct for Classroom/Auditoria, Conference Rooms and Public Lobbies

- a. When scheduling or using space, units are responsible for doing so professionally and for considering the need for the Health Center to use its space efficiently and effectively. This includes (but is not limited) to:
    - 1) not excessively booking tentative dates in advance.
    - 2) releasing tentative dates as early as possible.
    - 3) booking rooms of a seating capacity appropriate to the intended audience.
    - 4) booking rooms with special capabilities only if such capabilities are required for such events.
    - 5) minimizing the use of study-space conference rooms for other purposes such as meetings (i.e. these rooms are primarily intended for classes and studying and not meetings.).
    - 6) ensuring that the rooms use are appropriately cleaned and left undamaged and that any audio-visual equipment, computers, stored equipment, files, books and/or journals are not damaged or lost.
    - 7) leaving spaces on time so they are available to subsequent users.
    - 8) ensuring rooms are being used for legitimate purposes
  - b. Failure to comply with the Code of Conduct may result in restrictions being placed on the unit's ability to reserve space in the future, to have scheduled space re-assigned, for progressive discipline to be employed when individual(s) violate this policy, and/or other sanctions on the offending unit. The Space Management Committee would impose such restrictions. Violations of the Code of Conduct should be reported to the chair of the Space Management Committee is writing.
6. The SMC will make recommendations and/or attempt to obtain funding for standardizing the availability of audio-visual equipment, computers and computer network access in classroom/auditorium and classrooms. It will make recommendations concerning support services for such equipment as well. In those cases where conference rooms or classrooms contain digital audio-visual equipment (such as computers, computer network ports/Internet, video projectors/projection screens, document cameras, and video recorders), the primary user of the space should develop and maintain current, printed instructions for the use of such equipment and post such instructions in the room.

The "UCHC Common Space Use Policy -#2002-50" must be complied with.