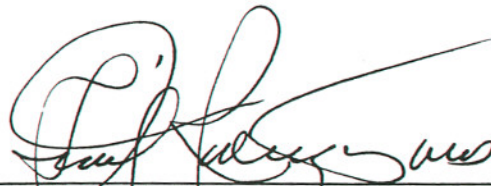


Universidad Central del Caribe

Research Space Allocation Policy



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I. Introduction

The UCC Research Space Allocation Policy describes the criteria and procedures adopted by the University to allocate research space and to administer research space assignments. These guidelines apply to all space occupied, owned or managed by the University that is designated by the institution as research space.

II. Authority and Responsibility

1. Research space is an asset that is owned by the University and is allocated under the authority of the President to a department, center, program or other administrative unit. Research space is allocated by the President in consultation with the Dean of Medicine and Department Chair and is not owned by the occupants.
2. The specific assignment and use of research space that is allocated to a department, center, program or other administrative unit is the responsibility of the director of the administrative unit.
3. In order to address changing and unmet research space needs as well as to assure accountability for its use, the University will allocate research space based on a thorough analysis and evaluation. This will include prior consultation with the director of each department, center, program or other administrative unit involved and with the dean(s) or administrative officer(s) who oversee these units. In this process, the President should seek the recommendations of the institutional Research Advisory Committee.
4. The institutional Research Advisory Committee will be available to advise the President and the Dean of Administration on scientific and technical issues related to research space when needed.
5. The Dean of Administration will be responsible for maintaining the research space in adequate physical condition as well as a research space inventory and for recording any changes in research space allotment.
6. Research space includes all laboratories that are not designated by the President to be exclusively for teaching and areas that are designated as clinical research space, common research laboratory and equipment space, core research service space and research office space.
7. Any non-university-owned research space that has been borrowed or leased by a department, center, program or other administrative unit will be included in the research space inventory and will be considered during research space assignments.
8. The President must approve all remodeling proposals that pertain to changing, increasing or decreasing research space before any contracts can be signed.

III. Research Space Allocation and Assignment Guidelines

Research space allocations and assignments will be made based on the following guidelines and are subject to the availability of space:

1. Research space assignment by the director of the department, center, program or other administrative unit to which it is allocated will follow University programmatic priorities as established by the President. These University programmatic priorities will supersede the priorities of any individual department, center, program or other administrative unit.
2. Research space allocation should support the overall educational mission of the university.
3. The department, center, program or other administrative unit director will make assignments of their allotted research space to individual researchers after considering the type of research, the nature of any funding received, the number of staff involved in the research and the rank and seniority of the principal investigator, among other factors.
4. Extramurally-sponsored research has priority over institutionally-funded research for the assignment of research space.
5. Research space allocations and assignments are not permanent. Biennial reviews of research space allocation and assignment will be made to ensure the best possible use of space.
6. Research space will be measured on a square foot unit basis. A standard research office is defined as approximately 100 sq ft and a standard research laboratory is defined as approximately 400 sq ft.
7. A request for allocation of research space to a department, center, program or other administrative unit may be made to the President only by the director of the unit and should include an assessment of the research space presently available to the requester as well as the proposed use of the requested research space. Audits will be performed as necessary.
8. A request for assignment of research space by an individual researcher may be made to the director of a department, center, program or other administrative unit to which research space has been allocated and should include an assessment of the space presently available to the individual requester as well as the proposed use of the requested research space. If this request is made to the director of a unit of which the individual researcher is not a member, then the director of the unit of which the researcher is a member must be informed of this request.
9. Any decision on research space use assignments that is made by a department, center, program or other administrative unit director can be appealed to the President of the University.
10. The proposed use of research space may not be in violation of university, governmental or funding agency regulations.
11. Laboratory Space Location: Every effort will be made to consolidate an investigator's research space in a single contiguous area, as current resources allow. Clustering of researchers with similar interests is encouraged to optimize use of shared resources and laboratories, when this is possible.

12. Each full-time faculty member who is actively engaged in research will be assigned office and laboratory space in as close proximity as possible, as current resources allow.
13. Investigators serving as Principal Investigators in funded proposals will be allocated space committed upon receipt by the institution of the grant award notice, as current resources allow.
14. **Research Space for New Faculty**
New faculty may be assigned a research laboratory for up to three years for start-up research activities. If after three years the faculty member has not secured extramural research support, continued occupancy is subject to review by the director of the department, center, program or other administrative unit to which the research space is allocated. Following this review, such space may be reassigned.
15. **Research Space Vacated by Departing Faculty**
Optimal use of research space vacated by departing faculty such as, for recruiting or expansion, will be determined by the director of the department, center, program or other administrative unit to which the research space is allocated. The Dean of Administration must be notified of vacated research and office space.
16. **Research space designated for recruiting**
Research space designated for recruiting purposes cannot remain vacant for longer than twelve months. Evidence of active recruitment must be provided to extend this time.
17. **Research space for Visiting Faculty**
Visiting Faculty who are engaged in research will use the research laboratories of their sponsors. Such individuals will share research office space with their sponsor or occupy common research space areas.
18. **Research Space for Emeritus Faculty**
Research lab and research office space for current research-active faculty and staff must first be satisfied before research space for Emeritus faculty can be assigned.
19. **Common Research Laboratories**
Researchers who have lost their laboratory space can be assigned to a common research laboratory. Common shared research space is encouraged. It is important to document clearly to which department, center, program or other administrative unit any common research laboratory space is allocated.
20. **Core Research Space**
Research space for core instrumentation and other services is a major priority of the University. The core laboratory or service facility designation is reserved for research equipment and research service facilities serving the entire research community of the University. The President of the University makes the designation of core facilities. Research space assigned to share resources reverts to the President when the facility is no longer operational and may be reassigned to meet objectives of the University. To establish a core research facility, applications must include identification of appropriate space, as well as the funding source and personnel responsible for management and maintenance of the facility. A Fee-for-Service system to support and maintain the facility is required. It is important to document clearly to which department, center, program or other administrative unit any core research space is allocated.

21. Off-campus research space.

Departments, centers, programs or other administrative units that require off-campus research space must budget for the cost of such space and for any necessary related expenses. The Dean of Administration must be contacted before any contracts are signed.

IV. Submission of Grant Requiring Additional or Renovated Space

A principal investigator must submit an Internal Routing Form before the submission of a proposal indicating additional space or modification of present space is needed to conduct the proposed research. If space needs cannot be met, the researcher, in coordination with the department chair or unit director will determine if the project should move forward based on the institution's goals and priorities. If the proposal is submitted and the priority score is favorable, the investigator shall inform the Assistant Dean for Research and Graduate Studies so that the request can be addressed before funding of the proposal.

Requests for research space or space modifications after receipt of grant funding will generally not be considered. If the grant submission that requires additional space involves multiple investigators, the request for additional research space must clearly identify and justify the space needs of each investigator.

V. Research Space Utilization Criteria

In reviewing requests for additional space made by faculty a combination of criteria will be employed.

Allocations shall be based upon programmatic needs, funding, and productivity. Allocations shall be determined by the number of current research grants supporting the laboratory, number of students enrolled at UCC, postdoctoral fellows and other salaried staff, F&A recovery, type of research conducted, equipment used, and current amount of space.

Retention of research space for non-funded research projects or assignment of space to outside agencies or individuals shall have the lowest priority.

Research space assigned will be established based on the criteria described below:

1. Availability of resources
2. Total research support as PI or Co-PI
3. Research quality, productivity, and impact. These criteria include: 1) favorable reviews of grants by a funding agency; 2.) publications including presentations and publications (particularly those in high impact journals); and 3) service on peer review committees and editorial boards.
4. Evidence of collaborative work with other faculty, universities and/or external agencies.
5. Programmatic needs of the University.

In recommending changes in space allocation, allowance will be made for fluctuations in extramural support. In general, a "grace" period will be afforded, provided that evidence of efforts to secure funding is available and the space is being utilized to produce preliminary data. Evidence may consist of submission cover sheets and agency evaluations of proposals. Typically the "grace" period would be 2 years for established faculty members and 3 years for junior members of the faculty. After this period the faculty will use the shared laboratory.

Additional factors considered in the evaluation of the efficiency of space utilization including:

- Personnel requirements (including new faculty appointments)
- Technical requirements associated with the use of specialized instrumentation
- Efficiency of utilization of space assigned
- Timely removal of out-dated equipment
- Consolidation of space use in equipment rooms, multi-user facilities, etc.

VI. Audits

The Deanship of Administration, on a biennial basis, will perform an audit of research space allocation and assignments. The Deanship of Administration will maintain a database of research space allocations and assignments, based on the biennial survey and updates.

The biennial research space audits will include the following information:

1. Building
2. Room number and key number
3. Room Type – office, laboratory, etc.
4. Square footage
5. Organizational entity (department, center, program or other administrative unit) to which the research space is assigned
6. Function - Common Laboratories, Core Research Space, etc
7. Occupants - titles and whether full-time or part-time
8. Funding information - all sources of funds that support use of the space through salaries or equipment; account numbers with start and end dates; direct and/or indirect funding amounts
9. Other applicable descriptors

VII. Appeals

The researcher may appeal the space request decision by the department, center, program or other administrative unit director to the President of the University if he or she can provide additional justification for the requested action. The requester will have a period of one month in which to provide a written appeal of any space request action. The President will consider the appeal and make a decision regarding the space action within a month after receiving the appeal.