

<b>Policy</b>	UMKC Research Space Allocation Procedures (amended)
<b>History</b>	Proposed in Appendix B of UMKC Space Planning and Management on April 21, 2009. Revised December 1, 2021
<b>Authority</b>	Chancellor
<b>Decision Authority</b>	Vice Chancellor for Research (VCR) and Provost
<b>Administration</b>	Office of Planning, Design, and Construction (PDC) operated by Campus Facility Management (CFM) Faculty Affairs Office (FAO) Office of Research Services (ORS)
<b>Related Policy</b>	UMKC Space Planning and Management: Policies and Procedures
<b>Effective Date</b>	July 1, 2022

## 1. Introduction

1.1. Sponsored research is central to the mission of UMKC (e.g., [UMKC Strategic Plan, 2018-2028](#)). These activities require substantial infrastructure, including research space (Code 250 of the Space Classification Manual, US Department of Education, U.S. Department of Education [USDoE]) and research support space (Code 255 of the Space Classification Manual, USDoEd). Research and Research Support space is intended to promote the scholarly activities of faculty members and students in support of UMKC's mission.

1.2. Allocation of space and its foundational principles align with the UMKC Space Planning and Management Policies and Procedures. The Chancellor delegates full authority to the VCR and Provost for the allocation and reallocations of all research space to colleges/schools, departments, and other units, including evaluation of requests by Deans or unit equivalents.

1.3. Definition of research space: Research space is space used in the conduct of research and is considered to include all space used by the personnel involved in the research, including faculty researchers, undergraduate and graduate students, postdoctoral researchers, research assistants and associates, and technical and managerial staff. This definition includes activities involving the training of individuals to conduct research where the space is also used for other research purposes. Institutional resource facilities that multiple researchers may use are also included in the definition of research space. Faculty office space is not considered research space, nor is classroom or laboratory space used solely or predominantly for instruction.

## 2. Guiding Principles

2.1. Research Space. Research space (Codes 250 and 255) is a valuable resource and is the property of the State of Missouri and is allocated to, and managed by, UMKC. With the administrative support from the Office of Planning, Design and Construction (PDC), operated by Campus Facilities Management (CFM), the VCR and Provost, by direction, are responsible for the allocation and reallocation of all research space to colleges/schools, departments, and

other units. The PDC is authorized to implement the rules and standard operating procedures to facilitate compliance with the regulations of space allocation in cooperation with ORS and the Faculty Affairs Office (FAO), which supply scholarly activity justification data.

2.2. Research Portfolio. Research space allocations are not permanent, and research space is allocated to individuals and groups to engage in research and scholarly activities. Thus, research space may be reallocated as the University's portfolio changes (i.e., the principal investigators, department/division themes/thrust, and strategic direction of research activities). Since that portfolio is reasonably expected to change over time, research space also is expected to be reallocated in response to the changing environment and institutional priorities.

2.3. Research Space Management Levels. While possessing the authority to implement the allocation and reallocation of all UMKC research space, the VCR and Provost recognize and appreciate the knowledge of programmatic space needs and disciplinary expertise that is held at the unit level and grants relative autonomy to departments, schools, colleges, and centers/institutes. As such, the Deans are expected to provide sufficient justification in light of known competing needs when submitting space reallocation requests. Departments, schools, colleges, and university centers/institutes are expected to manage research space effectively to align with university priorities (see Section 2.4) and use the space efficiently (see Section 2.5). Research space management levels are:

2.3.1. Level I allocations and reallocations occur within a department/unit (i.e., between researchers within a department or a unit) and are typically managed by a Chair/Director, approved by the unit Dean, and documented by PDC.

2.3.2. Level II allocations and reallocations occur within college/school (i.e., between departments, units, or divisions within a college or school) and are managed and approved by the unit Dean, and documented by the PDC;

2.3.3. Level III allocations and reallocations are less frequent, occur between colleges/schools, and are managed by Deans with direction and approval from the VCR and Provost.

2.4. Unit Priorities and Strategic Alignment. Research space priorities shall be established at the departmental/unit level, college/school/divisional level, and university level. At all levels, research space allocations and reallocations are made in accordance with published priorities as found in UMKC's strategic planning goals and objectives.

2.5. Efficiency of Use. In addition to strategic alignment, research space allocations and reallocations are made in accordance with the efficiency of use. Thus, research space is subject to annual inventory and efficiency audits by PDC (see Section 4 below), with the possibility of subsequent allocation or reallocation occurring at any management level. The conditions for initiating a reallocation at *Level I* and *Level II* shall be communicated to and approved by the unit Dean.

2.6. Frequency. It is impractical to reallocate research space too frequently. Effective space-use practice recognizes that research funding and output fluctuate over time. The frequency under which research space is evaluated for and action taken on reallocation will likely be a period of

one- to five years, commensurate with research productivity and proposal submissions or related discipline-specific activity, and, in alignment with the needs of the individual unit and University. If an individual loses their research space, the department chair or administrator will provide the current occupant with as much notice of the reallocation as possible and ensure that the occupant has a reasonable amount of time to vacate the space, which will vary significantly from case to case.

2.7. New Faculty. Prior to a new faculty member joining UMKC, the unit Dean and/or Chair or other unit administrators should communicate, in writing to the faculty member and PDC, any commitment of research space (including Codes 250 and 255) and any anticipated space renovation to accommodate the faculty member's research agenda. This written commitment must provide adequate detail regarding general characteristics, proposed location, renovation plan, budget, time limits for occupancy, and terms under which the space could be reallocated. The commitment shall be included in the offer letter to the new faculty member and costs assigned as part of their startup package. If the new faculty member requires additional space beyond that already managed at Levels I or II, the unit Dean will send the additional space request to the VCR and Provost for their approval (*Level III*) as part of the overall hire/negotiation.

2.8. Sponsored Research. Sponsored research and increasing sponsored research is a priority for the University and involves the agreement of the University to provide adequate space. When additional research space is required to engage a sponsored project, the principal investigators shall inform and discuss needs with the unit Dean. A solution to the space need should occur well in advance of any proposal submission deadline with PDC and necessary approvals from the unit Dean or the VCR and Provost, pending the level's request (refer to Section 2.3). In addition to formal approval from the PDC, space requests shall also be reflected in the PeopleSoft pages submission, so that the proposal/award data may be tied, as needed, and act as the mechanism for the PDC to release the space.

2.9. Emeritus Faculty. Emeritus faculty may be provided with research space at the discretion of the unit Dean involved if space is available and the emeritus faculty member remains actively engaged in research that is determined by the unit Dean to be aligned with the programmatic needs and priorities of the University.

### **3. Considerations for Allocating and Reallocating Research Space**

3.1. New allocations or reallocations will bring research space into alignment with long-term University priorities as expressed in a units' strategic plan.

3.2. New allocations or reallocations will increase the productivity of the space-acquiring individual, department, division or unit.

3.3. New allocations or reallocations will make explicit the length between evaluations, of the research space commitment.

3.4. New allocations or reallocations will consider associated one-time and recurring costs. If subsidies are necessary, funding sources will be specified by the faculty being assigned the new space (i.e., faculty will seek and provide formal proof of funds in a university account under

which they have authority to spend or have been delegated that authority by a higher level with the University).

3.5. New allocations or reallocations will consider opportunities to co-locate similar types of research activity to share core or common space and equipment.

3.6. New allocations or reallocations will consider the effects of space assignments (including equipment and other infrastructure) on health, fire, environmental, accessibility, and safety compliance, approved from EHS.

3.7. New allocations or reallocations will consider the primary reasons for a research space request and any possible secondary issues (indirect effects) that might result (e.g., sound, vibration, temperature, humidity, sunlight, access to electrical power, ventilation, processed chill water, electromagnetic interference and related local environmental conditions, compliant with EHS).

#### **4. Research Space Productivity**

4.1. To ensure that space is efficiently and effectively utilized, PDC will conduct an annual research space audit survey. Possessing quantitative and qualitative metrics collaboratively collected and set by ORS and Colleges/Schools, along with appropriate benchmarks provided by ORS and FAO (myVITA and Academic Analytics), assists all management *Levels (I-III)* in optimizing the use of research space. Productivity measures and benchmarks for research space are expected to vary between and among disciplines; however, sponsored research productivity will be considered the highest priority. Financial measures are expected to be one part of the overall assessment of research space productivity, especially for faculty in STEM and health sciences disciplines. Primary, financial measures may include but are not limited to:

- total external research award dollars / per net assignable square foot (NASF),
- total external research expenditure dollars / per NASF, and
- indirect cost recovery dollars / per NASF.

Secondary, non-financial measures of research productivity may include but are not limited to:

- number of refereed publications and books completed or in process,
- number of citations of published research publications,
- number of graduate students engaged,
- number of undergraduate students engaged, and
- other metrics as deemed relevant by the Unit Administrator.

These and other factors may be weighted or un-weighted within departments and colleges. Because of expected inter-annual variability in research productivity, a five-year moving average will be employed as the unit of research observation with the data-driven assistance provided by ORS, FAO, and Libraries.

## **5. Allocation/Reallocation Procedure**

5.1. The allocation/reallocation process is data-driven and Unit-specific. Each college/school will have its own index calculated to measure faculty productivity, usually aligned with the promotion and tenure criteria. PDC and ORS will assemble, aggregate, maintain and communicate all necessary research space/productivity data summaries and trends using grant- and contract-related data provided by ORS and other academic records from myVITA supplied by FAO. A unit-specific index (to be determined) will be calculated in close consultation with the unit Deans and Chairs. PDC and ORS will prepare a five-year report of the productivity of individual research spaces annually.

5.2. All research space requests for allocation/reallocation are initiated from the Chair/Director and/or unit Dean depending on the level of space request. These entries can include space requests for new research programming or a change of existing use (to/from research). These requests typically are initiated by *Level I* or *Level II* administrators and provide necessary communication of space use to keep the inventory current and accurate. After discussion with the unit Deans, the VCR and Provost will approve *Level III* requests. The key considerations for space managers at each level are included above (see Section 3).

5.3. Whenever a research space is deemed unproductive (falls below the 20th percentile of productivity at any space request level (*Level I-III* requests, see Section 2.3) as a result of the five-year report, it is eligible to be reviewed for possible reallocation at that level, and perhaps more often. Each level must document and communicate expectations and measures for productivity to the next appropriate level and PDC.

5.4. Reallocation at *Level I* normally involves a Chair's reallocation between researchers within a department or unit. Reallocation at *Level II* normally involves the unit Dean's reallocation of research space between departments. *Level III* reallocations, requested by deans or new research space needed due to university research priority changes, require the VCR and Provost approval. Current research space occupant(s) will be provided with at least a six months notice of intended reallocation when possible, except as approved by the VCR and Provost because of exceptional circumstances meriting more immediate reallocation, including but not limited to abuse or abandonment of the space by the space occupant, threats to health or safety, or when change is mandated to ensure compliance with applicable law.

## **6. Research Space Assignment Record Keeping**

6.1. Space allocations for research are subject to review for private business use in accordance with applicable IRS regulations and IRS Publication 4077. The Department, Unit, or office responsible for assignment must maintain records that state how the space is being used so that private business use can be reviewed and analyzed annually by the Division of Finance and Administration's compliance management.

6.2. PDC shall maintain the research space assignment and justification, in addition to the space type.