

Scripps Institution of Oceanography Space Policy

By the Scripps Space Management Committee

Approved: November 18, 2020

I. Authority

Space assignment authority within the Scripps Institution of Oceanography (SIO), including those spaces allocated for use by University of California, San Diego (UCSD) and system-wide units, has been delegated¹ to the Vice Chancellor of Marine Sciences² by the Chancellor of UCSD.

The SIO Director, in turn, delegates the responsibility of allotting space to the Scripps Space Management Committee (SSMC), composed of:

- a. the Deputy Director for Research (DDR, Chair);
- b. the three Section heads;
- c. the SIO Department Chair and
- d. two additional faculty members (chosen by the SIO faculty) from sections other than that of the SIO Department Chair, who are not (a) or (b). The Assistant VC, Finance and Operations, SIO Space Analyst, and the Chief Administrative Officers (CAO) representing the three Sections and the SIO Department shall serve on the Committee as non-voting advisors.

In addition, the SIO Faculty, through its executive committee, may choose to appoint and maintain the Faculty Space Advisory Committee (FSAC) as a standing committee and consultative body whose charge is to advise the Director and the SSMC on space policy and the resolution of space-related disputes.

II. Assignment of Space

Space at SIO is allocated to the following units:

<u>Unit</u>	<u>Unit Head</u>
Biology Section	Section Head
Earth Sciences Section	Section Head
Ocean & Atmosphere Section	Section Head
Scripps Academic Department	Chair of the SIO Department
Ship Operations & MarFac	Associate Director, Ship Operations
Birch Aquarium at Scripps	Director, Birch Aquarium
Scripps Institutional	Deputy Director of Research

Scripps Institutional space includes (but may not be limited to) the Director's Office, historic cottages, including the Martin Johnson House, Seaweed Canyon, Mount Soledad, Elliott Field Station, space occupied by the Geological & Biological Collections, the Marine Sciences Development Center and other recharge facilities. Multi-user facilities necessary for cooperative research between several faculty members should also be included in Scripps Institutional. The Chair of the SIO Department controls classroom and instructional space. The remaining SIO space is controlled and managed by the section heads and others.

¹ Exceptions include Coast Apartments and the SIO Archives.

² Referred to here as the "SIO Director".

The SSMC, in consultation with the FSAC, assigns space to members of the Professorial and Research Series (“Faculty”) at SIO. Faculty³ are entitled to the assignment of space appropriate to their functions as educators and scientists. Space assigned to a faculty member falls into three categories:

- a. a personal academic office;
- b. office space for employees⁴;
- c. laboratory areas assigned to the faculty member.

Space for new faculty: As part of the recruitment process, new faculty usually are assigned their academic office, staff office(s), and laboratory areas in an offer letter. This assignment is not permanent. All SIO space assigned to faculty is ultimately subject to the annual review process (below). However, new faculty space will not normally be reviewed until the faculty member has been at SIO for at least four years.

The three Section Heads also provide space to administrative staff associated with the Section and to post-doctoral scientists, official visitors and graduate students. The Section Head is responsible for the day-to-day and local management of space within the Section. Underutilized or poorly used space must be returned to the Section Head and, with the advice of the SSMC, reallocated in conformance with this policy and guidelines. In normal circumstances, office and laboratory space vacated by a faculty member, reverts to Scripps Institutional space for review and reallocation.

III. Annual Review, Rescission and Reassignment of Space

The determination that space is underutilized is made on an annual basis by the SSMC in consultation with the FSAC. The purpose of the policy described here is to encourage and allow a reasonably efficient use of space at SIO. It recognizes that space can never be perfectly allocated and that there are costs associated with its under-utilization:

- An opportunity cost if the space could be more beneficially used by someone other than the person to whom it is presently allocated, e.g., more research performed and more students trained (likely by bringing in more contract and grant funds).
- A cost associated with any reallocation of space (that necessarily offsets this opportunity cost), which will be borne (at least in part) by those affected, which means that reallocation should be reserved for cases of serious under-utilization and well-defined need, e.g., new faculty hires or proven need by existing faculty for additional space.

In order to efficiently look at space utilization, the following shall be compiled annually for each SIO faculty member. Ideally this will be available by August 1 of each year:

- a. An average, over the past three years, of the annual amount of extramural funding (expenditures and number of proposals submitted).
- b. The current space allocation, with the total broken down into academic office, and all other spaces allocated for employees and research.

³ Faculty here is used in the same sense as in the Bylaws of the Faculty of SIO (A) Members of the San Diego Division of the Academic Senate who hold appointments in the Graduate School of SIO; (B) Associate Faculty, comprising all individuals who hold Academic titles in the Professional Research Series at the SIO.

⁴ Employees include engineers, technicians, project scientists, programmer analysts, specialists, and administrative assistants. Post-doctoral researchers, official visitors and graduate students are not considered employees for this purpose.

From these numbers, the 3-year average of direct costs generated per square foot will be computed for each faculty member. Faculty who have been allocated office and laboratory space, but who show little to no research activity over the previous three years, may have their space allocation reviewed by the SSMC. The numbers and ratios described above are designed to identify possible space inefficiencies, they are not intended to be a rigid formula for maintenance or reallocation of space.

A faculty member whose assigned space is considered by the SSMC to be underutilized will be informed via hand-delivered notice, and provided the opportunity to document in writing any special circumstances as well as their future plans and funding prospects. In the meantime, additional data will be collected for these individuals, including:

- a. The number of graduate and undergraduate students the faculty member mentored over the past 3 years, and the extent of their involvement in research in the faculty member's research space.
- b. A yearly average, over the past three years, of the number of employees and postdocs supervised, directly or indirectly, and the extent of their involvement in research in the faculty member's space.

Once the information on student and postdoc mentoring and employee supervision is available, and after the faculty member has (if he/she chooses) submitted a response to the initial review, he/she will be visited by at least two members of the SSMC and one member of the FSAC. They will jointly conduct a walk-through of the faculty member's space and provide another opportunity for the faculty member to present additional factors for consideration.

This subcommittee will report back to the SSMC and FSAC, which will consider these and any other relevant factors before making a decision about the reallocation of space.⁵

The SSMC may, by majority vote, recommend a re-allocation of space, to take place no sooner than two months after the rescission letter is delivered (laboratory reassignment is likely to take longer). Such a recommendation is subject to review by the relevant Section Head, and can be appealed to the SIO Director. If the recommended re-allocation is approved, the relevant Section Head will inform the faculty member. The timeline for vacating space will depend on circumstances, including when the space is needed for another purpose, and the amount of time required to make the space available for the next occupant.

IV. Other

The Section Head, may, at his or her discretion, use Section funds to aid faculty members who have a substantial move, or a reduction in space, e.g., by covering the cost of more compact storage or labor costs associated with the move.

The recommended timeline for space review and rescission is as follows:

Space Review and Rescission				
Action	Recommended Timeline	Possible Month	Responsible Party	Comments
Draft faculty Funding/Space Report is compiled and distributed to Section Heads and CAOs for review.	0	August	Finance / Business Systems Analyst	The draft is very sensitive and confidential, and needs to be reviewed for errors.
Draft faculty Funding/Space Report to be discussed at SSMC meeting(s).	1 month	September	SSMC/FAC subcommittee	Faculty members that warrant further review are identified.
Review letters are prepared and hand delivered.	1.25 months	2 nd week in September	Section Head	Template letter provided by DDR.
Additional Information gathering	2 months	October	Faculty member COAs / Business Office	Faculty feedback Number and duration of people in lab assessed.
Subcommittee - Faculty member meeting and space walk through	2.5 months	Mid-October	SSMC/FSAC subcommittee	Last opportunity for additional feedback from faculty member.
Conversation with faculty member is reported to SSMC / FSAC.	3 months	November	SSMC / FSAC	Decision is made to move forward with rescission or not.
Rescission Letter is delivered by hand.	4 months	December	Section Head	Rescission Letter states that space could be reallocated if necessary.

V. Maintenance of this Policy

It is the responsibility of the SSMC, in consultation with the FSAC, to revise this document periodically so that the SIO Space Policy addresses current demands.

⁵ Any member of SSSMC or FSAC whose own space is under review for re-assignment should be recused from the review process.

APPENDIX A

Guidelines and Rules for Space Allocation and Use in Buildings

Section Heads are responsible for the day-to-day and local management of space within each Section. Underutilized or poorly used space must be returned to the Section Head for reallocation, with the advice of the SSMC, in conformance with this policy and guidelines. In normal circumstances, office and laboratory space vacated by a faculty move to new space or as a result of the retirement, resignation, termination, or death of faculty reverts to Scripps Institutional space for review and reallocation.

1. Guidelines and rules for laboratory space

Formulating quantitative guidelines for the assignment of laboratory space at SIO is complex because of the diversity of disciplines. Some investigators require bench space and fume hoods for chemical experiments. Others need service yards and high-bay construction facilities for the testing and deployment of moorings. Thus, this document does not attempt to formulate quantitative guidelines for laboratory space. Sections can ask faculty to share laboratory space based on collaborations as well as occasional or reduced need, i.e., faculty who only occasionally need laboratory space or a small amount of laboratory space can be asked to share a laboratory. Each Section is responsible for the efficient allocation of laboratory space based upon justified need and reasonable use.

The Section-based guidelines contained herein are to be enforced by the annual review of space, conducted by the SSMC in consultation with FSAC. In other words, although laboratory space allocations are determined by local custom and needs within the Sections, enforcement of the guidelines is ultimately via SSMC and is therefore uniform across SIO. This enables the SSMC to provide informed advice to the SIO Director on space issues which cut across the Sections.

2. Guidelines and rules for office space

Table 1 indicates the office space appropriate for different positions at SIO. Visiting scholars without appointment as an “official visitor”, undergraduates, volunteers, research associates, the faculty of other UCSD Departments, and short-term personnel are excluded from the formula in Table 1; it is expected that the Section Head will retain, where possible, a reserve of space for these exigencies.

Sole-occupancy offices: Faculty are entitled to an office for their exclusive use. It is also a priority to provide sole-occupancy offices for senior personnel. Scope of job, retention and seniority are the obvious mechanisms for determining which senior personnel are assigned sole occupancy offices. A guiding principle, trumping seniority, is that employees with a supervisory function need a private office to deal with management issues.

The size of offices: Faculty currently occupy personal offices ranging in size from 110ASF to 300ASF. To a large extent, variations in office size reflect variations in the way different buildings were designed. Seniority, prestige and recruitment inducements also factor in to office assignments within particular buildings. The base rule is that faculty are entitled to a sole-occupancy office with at least 110ASF.

Space for postdoctoral scientists, graduate students and official visitors: Office space for these scientists is provided by an allotment of offices assigned to the Section Heads and known as “Section Space”. This reserve is not to be assigned to faculty members. The Section Head provides these offices as needed to graduate students, post-docs and visitors, with generally two or three people per office. To the extent possible, the Section Head manages this assignment so that students, post-docs and visitors are located close to their advisors and collaborators. Faculty should discuss the availability of office space with the Section Head before making a commitment to hire a new post-doc or invite a visitor.

Position	People per Office	Assignment
Faculty = Professors + Researchers	1	Faculty
Specialist or Project Scientist	1 to 2	Faculty PI
Post Doc or Visitor	2	Section, not counted under PI
Grad Student	2 to 3	Section, not counted under PI
Technical	1 to 3	Faculty PI
Administrative & Management staff	1-2	Faculty PI or Section Head

Table 1: Assumes a 110 square foot office. Individuals per office are determined by the actual size of the available office, by the seniority of the employee and by the job function. Senior technical, scientific, and administrative staff and academic coordinators should be assigned a single office, space permitting.

SIO faculty occasionally serve as the primary advisor of graduate students from other UCSD Departments. If these students do not have an office in the other UCSD Department, then the Section Head should, if possible, provide office space at SIO.

Scripps strives to support the continued scholarly and creative activities of retired faculty, and their service to the University, while recognizing the need to make space available for new hires. Faculty with RTAD status will be subject to the annual review process described in Section III. Faculty not having RTAD status will have their space requirements reviewed by the SSMC and the SIO Director at the time of retirement (or shift from RTAD status) in light of their plans for research, teaching, or service. Subsequent assignment of space would then continue at the discretion of the Section Head and the SSMC; such assignments will be reviewed annually.

Space formerly held by, but no longer assigned to retired faculty, is returned to the Scripps Institutional pool, not to a Section.

Common space: In addition to a personal office, faculty might have access to common or utility space associated with office functions shared with other researchers. Common spaces include reading rooms, conference rooms, galleys, and kitchens. Equipment rooms containing copy machines, printers and other shared equipment are common space. Rooms used for drafting and handling large charts and maps are also common office space and usually shared between faculty with similar interests. Common space is held by the Section Heads and not assigned to the individual faculty members.

Large rooms and open-plan offices: Large rooms (other than labs) are defined as those greater than 200ASF. When not used as offices for senior and distinguished faculty, or common space,

large rooms might be used as open-plan office space for several employees. To justify exclusive assignment of a large room to a single faculty member as an open-plan office, the average occupancy must conform to the recommendations above. Example: a 260ASF room would house at least 3 people – a post-doc, an administrative assistant and a programmer analyst IV.

Sabbaticals, sea-time and other long absences: Faculty absent from SIO for longer than six months are required to notify the Section Head, clear their desk, and make a reasonable amount of office space available for the use of visiting scholars.

SIO offices for research associates and adjunct faculty: Adjunct faculty and research associates are not entitled to SIO offices. If space is available, then access to an SIO office (possibly shared) may be provided as a temporary courtesy by the Section Head.

Space for long-term storage: The use of office and laboratory space for long-term storage is not appropriate. Faculty needing long-term storage space should consult with the SIO Space Management Officer for access to this resource from Scripps Institutional space at Elliott Field Station or Trade Street facilities.

APPENDIX B

Guidelines and Rules for Use of Service Yards

The purpose of guidelines for the use of service yards is to facilitate access to these desirable shared use locations for all who need them.

1. The primary use of service yards is to provide access for:
 - a) Staging sea-going or other expeditions (preparation and post-cruise work)
 - b) Maintaining and supplying the buildings
 - c) Emergency accessAll items stored must be clearly labeled with the name of the principal investigator, a telephone number, and the date placed in the yard.
2. Service yards are explicitly not to be used for long-term storage of equipment, seagoing or other containers. Long term is defined as more than one month.
3. Equipment that can be transported without a forklift should not be stored in a service yard for longer than 1 month. If longer-term storage is needed, consult with the SIO Space Management Officer⁹ to determine the proper location, either Seaweed Canyon or Camp Elliott or Trade Street.
4. Ocean going or other expedition containers, that are being loaded for or unloaded after a cruise, can be parked in a service yard for up to 2 weeks. This maximal time frame should only be used if constant access to the container is required during this time.
5. Sea labs – If equipment is being permanently installed in a van or container prior to being shipped for use on shipboard or in a remote location, then a request can be made to have this container located in the service yard for up to two months.
6. Semi-permanent storage containers in service yards – Any containers or trailers that are needed on an ongoing basis, due to lack of space for the materials in the PI's lab, must be approved by the SSMC, and may be subject to approval by the Marine Science Physical Planning Committee and the Campus Community Planning Committee. Efforts must be made to provide the needed space within the laboratories of the adjacent building(s) or in Seaweed Canyon or Elliott Field Station. Permanent or semi-permanent usage of service yards is strongly discouraged.
7. Parking in service yards is only permitted for emergency vehicles, vehicles maintaining or supplying the buildings, vehicles with service yard or official business permit, or in spots marked clearly for short-term loading/unloading.

⁹ Currently Camilla Ingram

APPENDIX C**Guidelines and Rules for Space Allocation and Use in Seaweed Canyon**

The testing, staging and storage facilities in Seaweed Canyon provide a unique, close in facility for faculty at Scripps who have active field programs and need to prepare and test field equipment frequently. The facilities can also provide storage for various types of equipment or field samples, but frequency of use should be the primary criteria for assignment of space within any of the buildings.

The Scripps Institution of Oceanography Space Policy defines space in Seaweed Canyon and Elliott Field Station as Institutional Space, assignable to researchers for defined time periods, either directly or through the Sections. Thus, research units and recharge units may apply to their Section Head or the SIO Space Manager for space at either Seaweed Canyon or Elliott Field Station. Use of space at either of these locations by any person or group that is not part of Scripps will have to be approved by the SSMC on a case-by-case basis.

Space in Seaweed Canyon must be actively used, e.g., for staging and testing of equipment, or for storage between cruises, on an average frequency of monthly.

If the equipment, instruments or other materials are rarely used (not accessed for 6 months), they should be stored at Elliott Field Station.

Application for space will consist of the following:

1. A short written justification of need
2. An inventory of the equipment to be stored, including volume. The inventory must be of sufficient detail to accurately describe the stored items, i.e. a one-phrase description of "geological sampling gear" is unacceptable. Conversely, a detailed description of each item in every box is not expected.

Staffing: At present there is a manager for these facilities. If help is required, then that can be arranged by contacting the manager, presently Gary Wellwood or the SIO Space Manager.

Appendix D

Guidelines and Rules for Space Allocation and Use at Elliott Field Station

Scripps space at Elliott Field Station (EFS) is designated for long-term storage of equipment and supplies. EFS has a combination of prefabricated steel buildings and areas organized for the storage of boats, 20- and 40-foot containers, palletized equipment, disposable anchors, and large gear that can be stored outside. Some specific areas at EFS have been designated for these purposes per an approved master plan created for the purpose of improving the organization of Scripps storage.

Scripps space at EFS is defined as Institutional Space, assignable to researchers for defined time periods, directly by the SIO Space Manager or the SIO Facilities Manager. Use of EFS space by any person or group that is not part of Scripps will have to be approved by the SSMC on a case-by-case basis.

Application for space will consist of the following:

1. A short written justification of need
2. An inventory of equipment to be stored, including volume. The inventory must be of sufficient detail to accurately describe the stored items, i.e. a one-phrase description of "geological sampling gear" is unacceptable. Conversely, a detailed description of each item in every box is not expected.

The Elliott Field Station manager will be able to provide guidance on how to store equipment and other materials. In general, all items must be labeled clearly with the owner's name and contact information. Also, all items stored outside must be prepared in accordance with current guidelines to prevent soil and stormwater contamination due to substances leaking or oxidizing from the equipment.

Even though Elliott Field Station is designated for long-term storage, items are not meant to be stored in perpetuity. If it appears that items have been abandoned or are not being utilized in any way, the EFS manager will attempt to contact the owner and determine if he or she needs the item(s) any longer. If not, the SIO Facilities or Space Manager will assess if the item(s) should be saved for the use of others at Scripps. If no scientific use can be determined, then the manager will dispose of the item(s) through the best means possible.

Staffing: At present, Gary Wellwood, the manager for these facilities. If help is required, then that can be arranged by contacting the manager or the SIO Space Manager.