

## **Scripps Institution of Oceanography Space Policy** **Approved by the Scripps Space Management Committee: April 5, 2023** **Revised: January 2024**

The Scripps Institution of Oceanography (SIO) Space Policy is designed to facilitate equitable and inclusive assignment of office and research space at SIO while considering the differences in the type and functional needs of the research being performed. This policy aims to provide flexibility to ensure equitable access to space, and equity in the opportunities to access more space as research needs grow and to reduce space as research needs contract.

### **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 systemwide units, has been delegated to the Vice Chancellor of Marine Sciences (VCMS) by the Chancellor of UCSD.

The VCMS, in turn, delegates the responsibility to identify space solutions to the Scripps Space Management Committee (SSMC), to the VCMS for approval. To promote shared governance, the SIO Faculty, through its executive committee, shall appoint and maintain the Faculty Space Advisory Committee (FSAC), as a standing committee and consultative body whose members have voting rights within the SSMC, and are charged to advise the VCMS on the space policy and the resolution of space-related disputes.

The SSMC is composed of the following voting members:

1. Deputy Director for Research (DDR, Chair)
2. FSAC Chair (Co-Chair of the SSMC)
3. FSAC member
4. FSAC member
5. FSAC member
6. FSAC member
7. Section Head of Biology
8. Section Head of Earth Sciences
9. Section Head of Oceans and Atmosphere
10. SIO Department Chair
11. Assistant Vice Chancellor for Finance and Operations
12. Director of Diversity Initiatives
13. Head of SIO Collections Committee

The SIO Director of Capital Programs and Space Management, Director of Facilities Operations & Planning, SIO Space Analyst, Assistant Deputy Director for Research (ADDR), and the Chief Administrative Officers (CAOs) representing the three Sections and the SIO Department shall serve on the Committee as non-voting advisor.

SSMC Meeting Frequency and Voting: The SSMC will hold meetings once per month unless issues necessitate holding meetings more frequently. A quorum of at least 7 voting members is required to hold a meeting and to have a discussion. All action items require a vote of all 13 members. If all 13 members are not present, voting on all action items will be held remotely immediately following the meeting using an AD-password protected voting **portal** that will be distributed along with a link to details of the meeting presentations, discussions, and official minutes describing the action item.

## II. Space at SIO

Management of Space at SIO is assigned to the following units:

Unit	Unit Head
Biology Section	Section Head
Earth Sciences Section	Section Head
Ocean & Atmosphere Section	Section Head
Scripps Academic Department	Chair of the SIO Department
Ship Operations & Marine Facilities	Associate Director, Ship Operations
SIO Collections	Head of Collections
Scripps Institutional	Assistant Vice Chancellor for Finance and Operations
Birch Aquarium at Scripps	Director, Birch Aquarium
Sea Grant	Director, California Sea Grant

SSMC is responsible for space assignments for Biology Section, Earth Section, Ocean and Atmosphere Section, SIO Collections, and storage. Space assignments are made to individual “Faculty” (independent academic positions, including Ladder Rank Professor and Researcher series positions) who are typically members of one of the three research sections. Outside of specialized space, such as instructional space (SIO Department space), Ship Operations & MarFac, and the Birch Aquarium, all space at SIO is managed by the Sections or the SIO Institution, depending on current assignments.

Scripps Institutional Reserve: To ensure that space allocation remains flexible, research lab and office space not currently assigned to an individual faculty or institutional staff member will revert to Scripps Institutional Reserve. Office, laboratory and storage space vacated by faculty who move to new space or because of retirement, resignation, termination, or death, immediately reverts to Scripps Institutional Reserve. Institutional space serves as a reserve for space that is available for use by the Sections (for new hires or faculty/Pis who need more space) or for other purposes the VCMS deems appropriate.

All actions of the SSMC are subject to review by the VCMS. As faculty offices and space for PhD students, postdoctoral fellows and official visitors are managed by the relevant Section, the SSMC primarily discusses and votes on the assignment of staff offices, research laboratories, research support spaces, and storage space to Faculty and Centers at SIO. Institutional space requests must be discussed at the SSMC to ensure transparency and that they do not conflict with other faculty or institutional priorities. The AVCFO ultimately decides the space assignments for institutional staff.

Faculty/Pis are entitled to the assignment of space appropriate to their functions as educators and scientists. Space eligibility falls into five categories:

<b>A</b>	SIO faculty member’s personal academic office.
<b>B</b>	Office space for PhD students, postdoctoral fellows, and official visitors. These offices are considered shared section space and are assigned by the section.
<b>C</b>	Offices for employees (including specialists, project scientists, engineers, staff research associates, programmer analysts, and administrative staff)
<b>D</b>	Laboratories and research support areas (including access to service yards and active storage within research buildings (if any space is so designated))
<b>E</b>	Active research support, storage, temporary use of mobilization and demobilization space (Seaweed Canyon, Elliott Field Station)

Section Head Roles: The Section Head is responsible for the management and local review of space within the Section. They work with the Section Chief Administrative Officer (CAO) and Section Facilities Manager to assign A and B spaces, and coordinate C, D and E space assignment recommendations with the SIO Director of Space Management and SIO Space Analyst after a space request is made. It is the Section Head's responsibility to ensure that underutilized or poorly used space within the section be returned to the Institutional Reserve. Only after a Space Needs Assessment Request has been submitted and voted on by the SSMC, in conformance with this policy's guidelines, can C, D or E space be allocated. Section Heads are required to provide a report on assignment of A and B space allocations to SSMC biannually through the SIO Space Portal, to provide oversight of the trends in office space allocation by each Section to ensure equity in space assignment. The Section Head, may, use Section funds to aid faculty members in space allocation or rescission actions.

If a section head wishes to remove an office in Institutional Reserve and assign it to an existing faculty as their academic office (type A space), then, for transparency, the section head must propose a plan to the SSMC. The other sections, SIO Dept, and SIO Admin will then have 2 weeks to notify the requesting section head and the SSMC if the office is being considered for a different faculty member (type A office) or other use. After the two-week time period, providing no alternative needs are identified, the office will be allocated to the requesting section head for the designated faculty member, the allocation noted in Tririga, and thus will be part of the biannual report provided by the section on type A and B space. If there are multiple options, this will be openly discussed by section heads and SSMC to reach an agreement.

Shared Space: Faculty members may choose to share laboratory space and use that space in a collaborative way. To ensure that each faculty member engaged in space sharing maintains appropriate self-sufficiency in the use and management of that space, all shared spaces shall require a "Shared Use Agreement" developed by the involved faculty and approved by the SSMC preferably prior to initiation of shared use.

Calculation of faculty space allocation: All space (A, B, C, D, E) counts towards the space allocation for a Faculty/PI, but ostensibly, only C, D, and E space will normally be part of space requests by a faculty member to the SSMC. Therefore, the policy on assignment and rescission of space outlined below pertains only to C, D and E space assigned to a faculty member/PI.

## **II. Space Assignment Process**

The SSMC is charged to ensure that space allocation supports research productivity, equitable assignment of resources, institutional management and cohesion, and the strategic vision of Scripps/UCSD.

Space Requests: Typically, space requests are triggered by new faculty hires, a new or novel research direction, additional space required to expand an existing program (including hiring additional staff), a new research center, a new proposal, or a request from one or more granting agencies for expansion of existing research. Space requests should include the functional needs for the space, why the need cannot be accommodated within the existing space assignment, specifics on what type of space is needed, and financial implications, all in enough detail to allow each of the 13 voting members to make a robust decision. The need for the space and the options to fulfill it will be evaluated by the Director of Space Management and the SIO Space Analyst working in conjunction with the sections and presented to the SSMC for a vote to approve or deny the proposed solution to the space request.

Process for space assignment recommendations and approval: All space requests must be documented using the form found in the **Space Needs Assessment Portal** (Appendix F)), and describe the type of space, the proposed use of the space (including equipment needs, personnel, research-based or other operations), and the estimated time the space will be used for this purpose. Space Requests will not be considered from retired faculty, unless during application for or after receiving, Return to Active Duty (RTAD) status.

**Space assessment process:**

1	Faculty will sign on to the <b><u>Space Needs Assessment Portal</u></b> (SNA) using their AD username, password and duo authentication.
2	After filling out the form, faculty will submit their request through the <b><u>Portal</u></b> . It will be numbered and time stamped.
3	The DDR and Chair of FSAC will be notified automatically that a Space Needs Assessment request has been submitted. All SSMC members will have access through the <b><u>Portal</u></b> to all requests.
4	The Section Head will be responsible for presenting the request to the SSMC at the next available SSMC meeting.
5	A vote will be taken on the request to determine if it should be considered / analyzed. <ul style="list-style-type: none"> <li>a. If the request is denied consideration, it will be archived, the relevant faculty notified and provided with written justification.</li> <li>b. If a request is deemed incomplete, the DDR will ask the faculty member to provide the additional information.</li> </ul>
6	If a request is approved for consideration, the SIO Director of Space Management, the appropriate Section Head(s), CAO(s) and Facilities Managers will be tasked with identifying space options to fulfill the need. The team will make all attempts to: <ul style="list-style-type: none"> <li>a. Account for all relevant criteria, including the SIO/UCSD strategic plan.</li> <li>b. Provide a floor plan to show the location.</li> <li>c. Note any key renovations needed and approximate costs if possible.</li> </ul>
7	The above group will produce a document clearly articulating the reasons for the proposed space, a contextual map of space, justification for allocation, and any associated implications (logistical and financial). Those documents and associated information will be made available to all SSMC members via the <b><u>Space Needs Assessment Portal</u></b> , along with the original request.
8	At the next available SSMC meeting, the SIO Director of Space Management will present the space analysis and option preferred by the section to the SSMC for discussion and voting as described above.
9	If approved, the requesting faculty member(s) will be notified. They can accept or reject the vote of the SSMC, and request analysis of other options, and a new vote.
10	If the space option is approved by the SSMC, and accepted by the requesting faculty, it will be recommended for approval by the VCMS. If the VCMS does not approve the option, the SSMC will revert to step 6 to identify other options if possible.
11	If VCMS approval is granted, the space will be allocated to the requesting faculty. If renovations are required, the SIO Facilities Group will follow UCSD policies to estimate the costs and facilitate the proposed space renovation in a timely manner.
12	Space request results will be reported to the faculty and SIO broadly bi-annually in a SSMC newsletter explaining and justifying all proposed space allocation or rescission decisions made in the previous months.

Space needs triggered by potential research funding: If a proposal will require additional space

if funded, PIs need to check the relevant box in Quali Research, and submit a Space Needs Assessment form. Space needs associated with pending proposals will be considered as part of the review for current, funded space requests, to ensure that SSMC is making strategic decisions that include both current and potential space needs. Proposals that indicate a need for new space require electronic approvals from the section CAO and Division Director within the Quali Research system. The electronic approvals indicate only that the CAO and Division Director are aware of the new space needs and have submitted a Space Needs Assessment. In most cases, the SSMC will not discuss or determine potential space options until the proposal has been funded.

**Space Decisions:** Space decisions will only be made on requests that are entered in the Space Needs Assessment Portal. No initial, additive or reassignment of space, nor transfer of space between faculty, will be made without a Space Needs Assessment submission, and subsequent discussion, voting and recommendation of the SSMC. A space allocation requires a majority approval vote of the SSMC. Members of the SSMC involved in a space request will be excused from the discussion and voting to reduce the potential for conflict of interest. All existing requests (including requests associated with a pending proposal) should be consulted to ensure a new commitment is not foreclosing an existing or future commitment. **The Space Needs Assessment Portal** will enable tracking of space requests, priority assessment, and transparency.

**Space for new faculty:** As part of the recruitment process, new faculty may be assigned A, C, D and E space, which is outlined in their offer letter. Identification of their space should occur in advance of the offer letter. The SIO Department Chair and Deputy Chair, the relevant Section Head, CAO, and Facilities Manager, in consultation with the SIO Space Manager and Space Analyst, will identify appropriate spaces, for the A, C, D, E space needs. The Section Head will create a Space Needs Assessment Request. Efforts will be made to ensure space is well-defined and reflects the candidate's research priorities and collaborations (e.g., clustering faculty teams with shared resources in single buildings in relevant scientific neighborhoods).

New faculty space assignments will not be subject to space utilization review within their first five years, nor until they get tenure or promotion to Associate Researcher (see Section V below). However, ad-hoc space requests made by new faculty via the **Space Needs Assessment Portal** will be considered as needed to accommodate program growth and research needs.

**Leadership Interventions:** From time to time, it may be necessary to assign space or re-assign space through leadership interventions by the VCMS, whose decisions may or may not contradict SSMC recommendations. Leadership interventions may occur to:

- (i) Redress imbalances found through annual review in disciplines, genders, ethnicities, etc.
- (ii) Address conflicts in space use that are impeding research productivity and operations.
- (iii) Address emergency space needs.

Leadership Interventions, by definition, will not follow the standard procedures, however, they need to be transparent. **All** leadership Interventions must be communicated immediately to the SSMC with the appropriate justification(s), and posted by the DDR to the Space Needs Portal.

**Creating a New Building or Major Renovation of Space in an Existing Building:** Major capital construction should be tied to major scientific goals and SIO's strategic plan. Generally, new construction or major renovation projects should not include space for retired faculty (including RTADs) or for research programs that are not expected to grow. New building space should include a reserve of unassigned space for one or more future faculty hires. This process is controlled in large part by UCOP/UCSD policies.

### III. Reviewing Space Use

The efficient use of all space at SIO is of critical importance to the maintenance of academic teaching and research productivity. Effective assessment of space utilization is therefore essential to management changes in research priorities, growth of research activities, and teaching.

Annually, the SIO Director of Capital Programs and Space Management, the DDR, and Chair of the FSAC will present to the SSMC a review of objective space utility calculated for every SIO faculty/PI. This annual review process is designed to determine the current state of space utility across the institution. This assessment may be used to help identify faculty/Pis who may have excessive space allocated beyond their current research and education need, and those who may not have enough space allocated to address their research and education needs. Existing research space utilization will be judged against the space utility scores for other members of their sections, as well as against space utilization across the institution.

Space utility is defined as a single metric derived from three components (details in Appendix E):

1. Financial: An average, over the past three years of the amount of direct funding available from sponsored research and gifts, and the last fiscal years' service agreement revenues.
2. Space Allocation: The size of the current space allocation, calculated as the available square footage of A, B, C, D and E space in the faculty/PI's cluster in Tririga.
3. Lab Users: The number of supervised and supported career research staff, visiting scholars, specialists and project scientists, postdocs, graduate and undergraduate students that are actively using the assigned B, C and D space.

These three components are used to calculate a Space Utility value that uses occupancy density and financial activity as a function of space. For example:

*A Faculty member with a 3 year average of \$275,000 in direct costs, has a combined space allocation of 1,800 sq ft, and supervises 8 people.*

*The financial activity calculation is:  $\$275K \div 1,800 = \$153/\text{sq ft}$*

*The occupancy density is:  $1,800 \text{ asf} \div 8 \text{ people} = 225 \text{ asf/person}$*

*The Space Utility value:  $\$153/\text{sq ft} \times 225 \text{ asf/person} = \$34,425 \text{ per person}$*

The Space Utility value is calculated for all Faculty and PIs, but comparisons are made by peer groups (Appendix E). The median and upper and lower quartile is calculated for each of these groups. This allows for determining space that is being underutilized (i.e., the Space Utility value will be in the lower quartile) and space that is being over-utilized (i.e., the Space utility value will be in the upper quartile). The goal of the annual review will be to determine why certain Faculty/Pis are falling in the upper or lower quartile, which will aid with space augmentation or rescission decisions. Although an overall utility score is calculated, the amount of space assigned, along with the financial activity and density data will be taken into consideration.

Coupled to this annual assessment of SIOs space utility, and to enable accurate space augmentation or rescission decisions, will be performed via a walkthrough of the space for every Faculty/PI at SIO once every year by the FSAC. A minimum of two FSAC members must be present; one member must be part of the same section as the space that is being reviewed, while the second member of the FSAC, must be from a different section. The Director of Space Management and/or the Senior Space Analyst will participate in all space walkthroughs, to provide continuity in methodology and evaluations between walkthroughs and between sections. Additional

members of the FSAC may participate, if needed. The walkthroughs will be announced to the relevant faculty/PIs, a date provided in advance, and will consist of observation of the activities for which a space is being used, including, but not limited to, personnel operations (laboratory work, computational work), equipment activity, storage use, etc. The FSAC will produce a brief report on the consensus of usage of the individual PI spaces reviewed to be presented to the SSMC meeting to aid in augmentation or rescission decisions.

#### **IV. Rescission of Space**

As outlined under Section IV, space utility will be calculated annually. Those space holders with utility scores that fall in the lower quartiles will be asked to provide additional information, including a report of current and pending extramural support, future research plans, individuals being mentored or supervised who would not have been counted as part of the occupant density, and any extenuating circumstances that may have affected their scores. This will be informed by the walkthrough of their space by a cohort of FSAC members. For individuals in the lower quartile, the purpose of the walkthrough will be to determine what portion of the space allocated to the individual faculty member, if any, should be rescinded. The information and observations will be reported back to the full SSMC for discussion and evaluation.

A decision on whether to rescind, either partly or completely, faculty C, D, E space allocation will be voted on by the SSMC and ratified by the VCMS. The affected faculty member can appeal the rescission decision to the SSMC and the VCMS at any point after the SSMC vote. A written plan to vacate the space will be developed in consultation with incoming and outgoing faculty members, affected staff, students, postdocs, etc., by the relevant Section Head, Facility Manager, and CAO. Rescinded space will be returned to the Institutional Reserve and becomes available to address new Space Needs Assessment requests. Depending upon the circumstances, the current occupants may be asked to move out with a three month notice, or not given that notice until the space is reallocated.

Review of Retirees and/or Return to Activity Duty (RTAD) Faculty: Upon decision to retire, a space rescission plan will be developed to provide a ramp down of activity based on an agreed timeline, with a transition of all research space, and A and C offices to Institutional Reserve. If the retiring faculty does not wish to apply for RTAD status, but wishes to have an academic office, they may be asked to share office space with other retired faculty.

If a retired faculty/PI applies (or reapplies as required annually) for RTAD status, their space utility will be evaluated as per non-RTAD faculty. RTAD application therefore will include a review by the FSAC of space utility and may include a spacewalk of existing space and discussion with the faculty member. Following the SSMC review, a recommendation will be made to the VCMS as to the approval or disapproval of the RTAD application.

New or untenured faculty/researchers (within 5 years of hire or at Asst level): For faculty that have been at Scripps for less than 5 years, or who are at the Assistant Professor or Researcher levels, no attempt will be made to rescind space. However, SSMC may use walkthroughs, utility score analysis, among other tools, to identify new faculty members who may need additional space or resources to carry out their research and teaching activities effectively.

#### **V. Other**

Temporary Space Allocation: Occasionally space may be "loaned" on a temporary basis from other space allocation types, e.g., education space managed by the SIO Department may be temporarily used by a faculty member for research purposes. In these situations, the faculty



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member and the SIO Department Chair will agree to a timeframe for that use, which will be documented in a written agreement signed by all parties. Upon completion of these activities, the space will be vacated immediately and returned to the SIO Department. In all situations, the SIO Department has veto rights over the potential temporary allocation of educational space or extension of the time period.

### **VI. 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.