

Facilities and Administrative Space Survey Training and Instructions

Presented by:
*Management Accounting
and Analysis*

Spring 2008



Important Note

- The information in this presentation is a brief overview and is not a substitute for the *Instructions for Functional Coding of Space.*
- Please see handouts for these instructions.
- Instructions can also be found at the following link:

<http://www.washington.edu/research/maa/fa/pdf/space-survey-instructions.pdf>



Objectives and Goals

- Some Context and Background
- Space Survey Basics
- Step-by-step Survey Instructions
- Federal Red Flags
- HHS Reviews
- Examples
- Questions and Wrap-up



Some Context

The Federal Government sponsors a larger dollar volume of research and development at the University of Washington than at any other public university.

Fiscal **2007** Grant and Contract awards:

Federal:	\$793,000,000
Non-Federal:	\$227,000,000
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Total:	\$1,020,000,000



Some More Context

F&A recovery is a major source of funds to the University.

F&A recovery supports overall research infrastructure, including your 74- and 75- (RCR) budgets.

F&A cost recovery in FY 2007 was
\$189,000,000.



F&A Rate – a “Simple” Ratio

Allocated Organized Research **F&A**
(**indirect**) costs

divided by

Organized Research **Direct** Costs

=

F&A Rate (proposed)



UW's Next Proposal

The next F&A proposal will be based on costs incurred during fiscal year July 1, 2007, through June 30, 2008, our next "base year."

The rate proposal is scheduled to be submitted to HHS in December 2008.



What is the Space Survey?

The process of determining the functional use of campus space.



Why Do We Need a Space Survey?

- The functional use of space is the most critical part of the F&A proposal.
- Allocation of facilities costs (the “F” part of the F&A rate) is based almost exclusively on space utilization.
- Facilities costs are not capped.
- As a result, **Federal reviewers closely scrutinize** survey results for accuracy.



General Instructions

- Carefully review the detailed instructions
- Determine appropriate people to conduct the survey
- Consider appropriate time period (activities over entire fiscal year, not a snapshot)
- Focus on research labs
- Understand functional use codes

<http://www.washington.edu/research/maa/fa/spacfunc.html>



General Instructions

- Consider all activity performed in space
- Consider all occupants of space and extent of use
- For paid occupants, consider budgets that pay their salaries
- Determine the functional use for each individual room
- Document results



A -21 Space Functional Use Definitions

Space Inventory Management System (**SIMS**):

UW Home > UWIN > Administrative Gateway > Facilities > SIMS

<http://puff.opb.washington.edu/pnbdb/sims2/home/main.cfm>

or

<http://www.washington.edu/research/maa/fa/spacfunc.html>



Who is an 'Occupant'?

- The term occupant includes all individuals, paid or unpaid, who use the lab during the fiscal year, including but not limited to:
 - Faculty
 - Staff (e.g., lab technicians)
 - Graduate and undergraduate students (paid and unpaid)
 - Post-doctoral fellows
 - Visiting scientists
 - Professors emeriti
 - Clinicians
- Document that you have taken all occupants into account in determining the functional use of each lab.



How to Handle Specific Room Categories

- Research labs
 - Students in labs
 - Visiting scientists or HHMI funded faculty and staff
 - When 100% research is incorrect
- Research lab support space



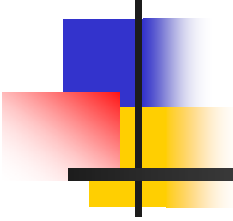
How to Handle Specific Room Categories

- Offices, conference rooms, and other multipurpose rooms
- Classrooms, class labs, and related service rooms
- Recharge and service center space
- Vacant space



What About Partial Year Occupancy and Vacant Space?

- Code space according to how it was used while in active use.
- Space is considered “vacant” only if it was unoccupied during the entire fiscal year.



When Should the Survey be Conducted?

Space surveys should be completed during the latter part of the base year (FY 2008).



Federal DHHS Review

- Red flags
- What to expect during review



Some Simple Examples



Research Lab, Room 505

- One occupant only.
- Lab used for work on NIH research awards R01ABC and R01XYZ.
- Occupant is paid 50% from ABC and 50% from XYZ.
- Answer: 100% Organized Research



Research Lab, Room 529

- One occupant only.
- Lab used for work on NIH research awards R01ABC and R01XYZ.
- Occupant is paid 25% from ABC and 25% from XYZ while in her lab and 50% from departmental funds while in other space.
- Answer: 100% Organized Research



Research Lab, Room 540

- Two occupants only.
- Lab used for work on NIH research awards R01ABC and R01XYZ.
- First occupant is a post doc, paid 50% from ABC and 50% from XYZ while in the lab.
- Second occupant is a .50 FTE graduate research assistant, paid 100% from department operating funds while in the lab.
- Answer: 67% Organized Research and 33% Department Research



Research Lab, Room 612

- Two occupants only.
- Lab used for work on NIH research awards R01ABC and R01XYZ.
- First occupant is a post doc paid 50% from ABC and 50% from XYZ while in the lab.
- Second occupant is a lab technician paid 50% from ABC and 50% department operating funds while in the lab.
- Answer: 75% Organized Research and 25% Departmental Research



Research Lab, Room 715

- Two occupants only.
- Lab used for work on NIH research award R01ABC and “exploratory/start-up” research.
- First occupant is a graduate research assistant (50% FTE) paid 50% from ABC and 50% from departmental operating funds while in the lab.
- Second occupant is a lab tech paid 100% department operating funds while in the lab.
- Answer: 16.7% Organized Research and 83.3% Departmental Research



Summary

- Carefully review detailed instructions
- Space functionalization is most critical part of F&A proposal
- Sample of space **WILL BE** reviewed by HHS negotiators
- Carefully review and functionalize your space



Summary, continued

- Focus especially on research labs
- Document functions using SIMS
- Maintain additional documentation
- Remember professional judgment is key
- Ask if you have questions -- we are here to help!



Questions and Answers



Resources

Detailed Instructions

<http://www.washington.edu/research/maa/fa/pdf/space-survey-instructions.pdf>

Functional Use Definitions:

<http://www.washington.edu/research/maa/fa/spacefunc.html>

SIMS website:

<http://puff.opb.washington.edu/pnbdb/sims2/home/main.cfm>

OMB Circular A-21:

http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html



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