

University of California, Berkeley

Facilities & Administrative
Space Functional Use Survey
FY2014-15

Spring/Summer 2015

F&A SPACE SURVEY AGENDA

- Overview
- Definitions and Guidelines
- Coding Space
- Tips and Help

Why It's Important

- The space survey is used to help develop Berkeley's Facilities and Administrative (F&A) cost rate proposal.
- This rate is negotiated with the federal government and allows the University to recover the costs associated with supporting the research mission.
- The recovery of these costs is critical to the University's ability to continue to engage in high quality research.
- F&A cost reimbursements at Berkeley exceed \$100 million per year and are an integral part of the campus' financial plan.

How is the Space Survey Used?

- Data obtained from space surveys are used to allocate the following F&A costs to Organized Research, Instruction, and other functions:
 - Operations and Maintenance (utilities, maintenance, etc.)
 - Building Depreciation
 - Interest
 - Equipment Depreciation

Who Completes the Survey?

Information for the space survey comes from those who are familiar with the functional usage of the space:

- Department business managers
- Facility managers
- Department chairs
- Principal Investigators

Roles and Responsibilities

- Campus administrators and consultants
 - Provide information and training materials on functional coding
 - Conduct training session with campus staff
 - Answer questions regarding functional coding
 - Ensure consistent treatment of space
 - Assist with unusual cases
 - Follow up with various departments
 - Incorporate into F&A Rate
- Department Representatives
 - Attend information session and review training documents
 - Gather and/or verify information

What time frame are we discussing?

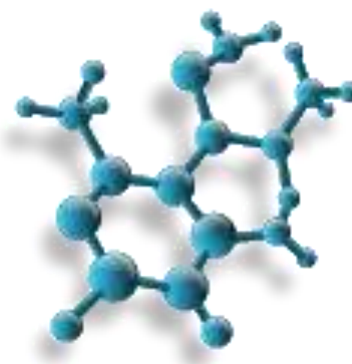
- The space inventory covers the period from
July 1, 2014 to June 30, 2015
- Give your best estimate for how the space was used during this fiscal year.



Space Survey Components

Information to Verify

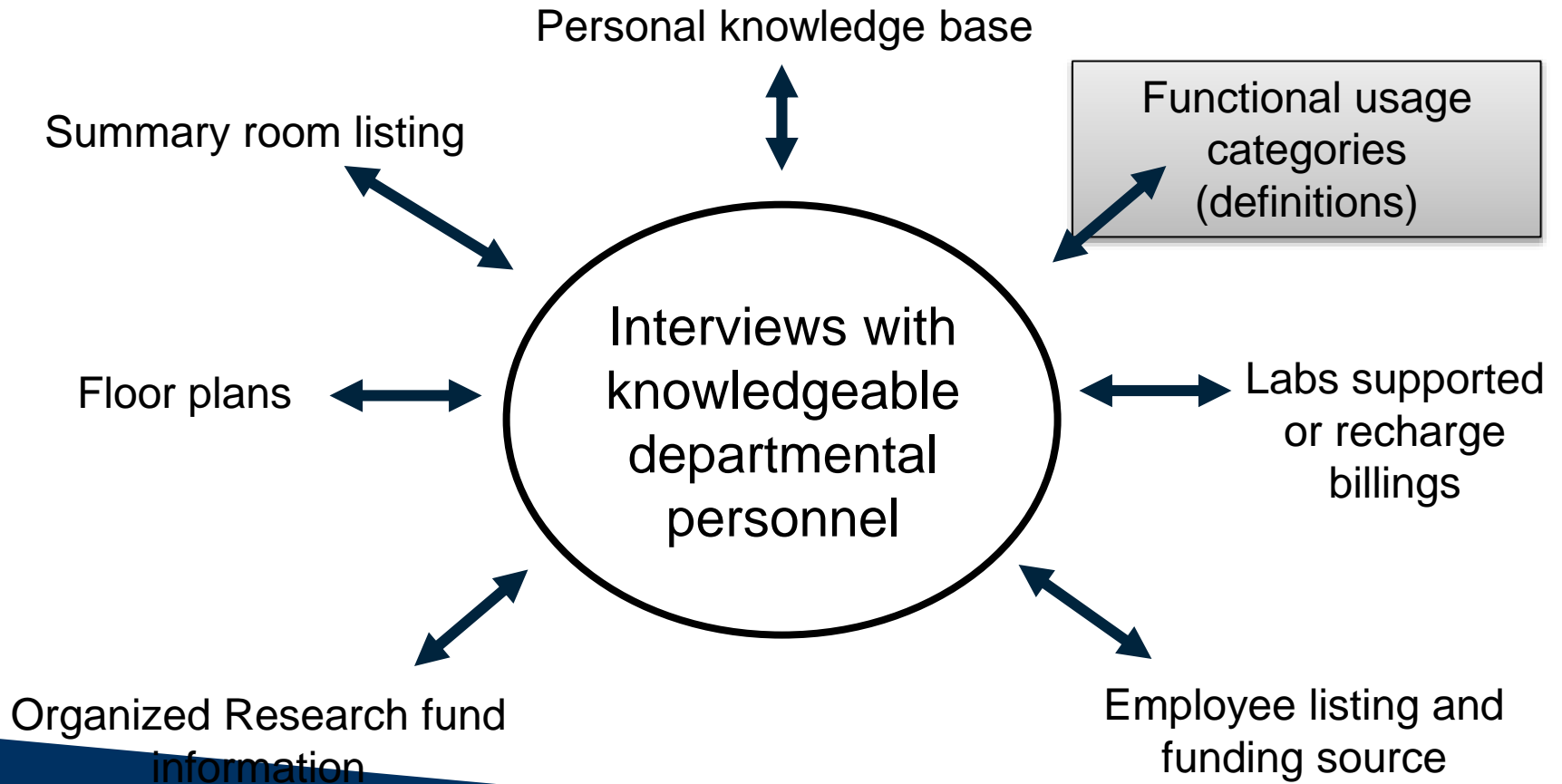
- Building name
- Room number
- Room type
- Assignable square feet
- Department
- Principal Investigator
- Occupants
- Funds



Space Survey Components

This year we are providing much more information in advance.

- We will provide, the raw space data populated with Principle Investigator & OR funds. We will ask you to:
 - Record:
 - functional usage: What happened in a specific room during FY2015?
 - Verify:
 - primary occupant(s): PI, graduate students, post-docs, and other main users of the room
 - project/grants funding activities in the room
 - room types



Functional Usage Codes

Organized Research (OR)

Instruction and Departmental Research (IDR)

Other Sponsored Activities (OSA)

Other Institutional Activities (OIA)

Joint Use (JNT)

Vacant (VAC)

**Note: You will not necessarily use all of these codes. Please review the following slides for commonly used codes for your department.*

Functional Usage Definitions

Organized Research (OR)

- Space used for research and development activities that are:
 - Separately budgeted and accounted for
 - Funded by third parties (sponsored research) or University-funded grant programs
 - Both federal and non-federal
- Includes activities supported by mandatory and committed cost sharing
- Also includes research training grants
- **Excludes** contract-for-service activity, community service programs, seminars, symposiums, etc., which are considered Other Sponsored Activities (OSA)

Functional Usage Definitions

Organized Research (OR) Continued

- Includes rooms in animal research facilities--procedure rooms, operating and recovery rooms, isolation rooms, and quarantine rooms directly related to research protocols, as well as rooms that house animals involved in research that are not generally removed from the facility for conducting research.

Functional Usage Definitions (Continued)

Instruction (IDR)

- Space used for:
 - The instructional activities of the University
- Includes teaching and training activities, whether they are offered for credit toward a degree or certificate or on a non-credit basis, either through regular academic departments or separate divisions, such as a summer school or an extension division
- Classrooms and class laboratories are coded 100% IDR.

**Note: Departmental Research and Instruction are combined under the same functional usage code (IDR).*

Functional Usage Definitions (Continued)

Departmental Research (IDR)

- Space used for research and development activities that are:
 - Part of one’s professional interest
 - Supported by gift or endowment funds for which no formal application/approval process was required
 - If used to cost share an organized research activity, the space should be classified as Organized Research (OR)
- Includes seed funding, start-up funding or bridge funding

**Note: Departmental Research and Instruction are combined under the same functional usage code (IDR).*

Functional Usage Definitions (Continued)

Other Sponsored Activities (OSA)

- Space used for research and development activities that:
 - Are sponsored by third parties
 - Are both federal and non-federal
 - Involve the performance of work other than Organized Research or Instruction
- Includes contract for service activities, community service programs, seminars, symposiums, and conferences funded by third parties
- Clinical trials

Functional Usage Definitions (Continued)

Other Institutional Activities (OIA)

- Space used in conducting activities which do not correspond to any of the other listed definitions
- Includes the following types of space:
 - Used by visiting faculty or scientists that are not paid by UCB
 - Occupied by clinics, athletic facilities, dormitories, dining halls, bookstores, coffee shops, theaters, public museums, alumni and development areas
 - Space used by individuals whose salaries are paid directly by the Howard Hughes Medical Institute (HHMI) should be coded as OIA. (However, space used for research grants or contracts to the University, including grants to UCB from HHMI, should be classified as OR.)
 - Space used for LBNL research not funded through the campus

Functional Usage Definitions (Continued)

Joint Use (JNT)

- Space used for academic, administrative, and supportive activities that benefit joint departmental objectives
- Typical room types that have these activities:
 - Administrative offices
 - Office service rooms (mail rooms, file rooms, copy rooms, etc.)
- Includes certain waiting and reception areas, departmental libraries, and storage areas
- Administrative areas including offices of deans, chairpersons, center directors, and division heads
- Includes conference rooms, lounges, general assembly and commons
- For purposes of this survey, faculty offices (excluding Research Offices) are coded 100% JNT

Functional Usage Definitions (Continued)

Vacant (VAC)

- Space that is assignable to an occupant, but is not in use
- Space that is vacant for less than half the year, and will be returned to similar service in the future, should be coded according to its usage during the majority of the year.
 - Contact us if you have space that was vacant for more than half the year

Process

- We will give you two lists: rooms to be surveyed (research rooms, shops and animal quarters) and all other space for your department/unit. **Data is required for the survey rooms only.** All other data is provided for informational purposes only.
- For the survey rooms, please:
 - verify the physical attributes of each room such as building name, room number, room type, and approximate square footage for accuracy. Make changes as necessary or contact us for assistance (see next slide).
 - verify the Principal Investigator(s) to whom the space is assigned.
 - verify the project/grants that are providing the funding for the research activities (OR).

Process

- Using the occupant information (both paid and unpaid) and the funding information, please identify the activities taking place in the room (research, instruction, etc).
 - Functionalize the space
 - Must total to 100%
- Review the coding for reasonableness.
 - While the ratio of space to dollars may not be a one-to-one relationship, it should be reasonable. An 800 sq ft research lab that is coded 100% to OR and has \$200 of OR funding may seem unreasonable to a government negotiator.

Special Situations

Usage changed during the year

- Allocate usage by time. For example, if a room for the first 6 mos of the year was used half of the time for instruction and half of the time for organized research and for the following six months used exclusively for instruction, then total use is calculated:

Instruction: $[(1/2 \times 6/12) + 6/12] = 75\%$

Organized Research: $(1/2 \times 6/12) = 25\%$

Vacant space should not be prorated (see definition, slide 20)

Room listing is not accurate

- If room detail is wrong, note in the comment box. If the room has been altered, indicate the usage of the space as it is shown on the listing, if possible. For example, if a space has been divided into two rooms, it may still be possible to indicate the usage of the same block of space.

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Detailed information is requested for research rooms types only:

- Research lab and offices (room types 210 and 211): functionalize according to usage and include funds
- Research lab and office service rooms (room types 225 and 226): functionalize according to rooms served, no funds necessary
- Department recharge shops: functionalize according to billings, no fund necessary
- All other room types will be pre-coded by F&A staff

Back to Research Laboratory Facilities. . .

Initial instinct may be 100% Organized Research (OR), but...

- Are there individuals that work in the lab not funded from a sponsored research award?
- Are there other activities taking place in the lab that are not related to research?
- Examples....



Research Laboratory Facilities (Continued)

Example 1 – Research Lab

- One occupant, lab is used for work on NIH research awards ABC and XYZ
- Occupant is paid 50% from ABC and 50% from XYZ



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Research Laboratory Facilities (Continued)

Example 2 – Research Lab

- One occupant, lab is used for work on NIH research awards ABC and XYZ
- Occupant is paid 25% from ABC, 25% from XYZ while in this lab, and 50% departmental operating funds while in other space.

Answer: 100% OR



Research Laboratory Facilities (Continued)

Example 3 – Research Lab

- Two occupants, lab is used for work on NIH research awards ABC and XYZ
- First occupant, paid 50% from ABC and 50% from XYZ while in this lab
- Second occupant, paid 50% from ABC and 50% from department operating funds while in this lab

Answer: 75% OR, 25% IDR

Research Laboratory Facilities (Continued)

Example 4 – Research Lab & Related Lab Service Rooms

- Two occupants, lab is used for work on NIH research award ABC and “exploratory/start-up research”.
- First occupant, paid 50% from ABC and 50% department operating funds.
- Second occupant, paid 100% from department operating funds.

Answer: 25% OR, 75% IDR



Research Laboratory Facilities (Continued)

Research Support/Annex Rooms

These are rooms connected to the primary research lab) should follow the functionalization of the primary Research Lab.

Examples include:

- Lab – Research Service
- Cold Room
- Constant Temperature Room
- Equipment/Instrument Room
- Fume Hood Room
- Glass Wash Room
- Chemical Storage Room

Research Laboratory Facilities (Continued)

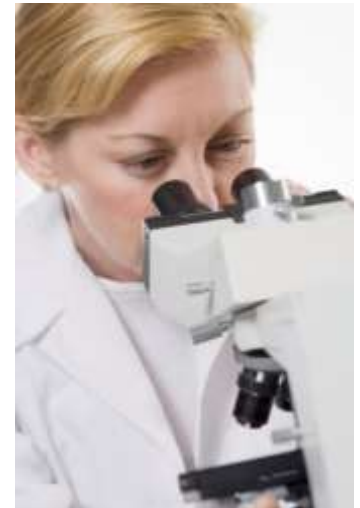
Example 5 – Research Lab

- Four occupants, paid from OR funds and non-OR funds.
- Consider that 3 of the occupants are funded from an OR grant, 1 is funded by the department, and all use the lab equally. What would be an appropriate allocation?
 - Using FTEs, a 75% OR and 25% IDR split would be appropriate
- Maybe your review of the lab showed that the lab was not used equally and that the 1 IDR-funded RA spent considerably less time in the lab. What would be appropriate now?
 - Use your judgment – something between 75% and 95% OR would be reasonable

Research Laboratory Facilities (Continued)

Room Clusters

- Use same functionalization for a given principal investigator's assigned rooms for room clusters (multiple labs by same PI).
- Combine all staff of the PI. Typically, all spaces assigned to PI are used by all people and all sponsored agreements.



Research Laboratory Facilities (Continued)

Departmental Recharge Centers

- A room which normally operates within an academic division or department to provide support to the division or department activities
 - Usually not high dollar volume cost centers
 - Generally small and benefit only department activities
- Examples:
 - Machine shop
 - Chemical supply Room
 - DNA sequencing facility
 - Etc.
- Include the name of the recharge center in the comment box
- The space for these areas should be functionalized based on the project/grants or programs being billed for the service. Identification of fund numbers is not necessary.

Research Laboratory Facilities (Continued)

HHMI and LBNL space

- Space assigned to LBNL and HHMI is usually embedded in other campus units to which the PI belongs.
- These campus units are responsible for coding this space
- Space used by individuals whose salaries are paid directly by the Howard Hughes Medical Institute (HHMI) should be coded as OIA. (However, space used for research grants or contracts to the University, including grants to UCB from HHMI, should be classified as OR.)
- Space used for LBNL research not funded through the campus should be coded as OIA.

Research Laboratory Facilities (Continued)

Graduate Students

- Space occupied by graduate students can be considered Organized Research (OR) space when the graduate student is funded from OR projects.
- If the graduate student is funded through departmental funds, then the space they occupy should be coded as Instruction/Department Research (IDR).
- If the graduate student is paid by OR and non-OR funds, spaces occupied must reflect both activities unless separate spaces are provided to perform each activity.
- If any graduate students are utilizing lab space and not being paid, that space should be coded as IDR.

Research Laboratory Facilities (Continued)

Undergraduates--Same philosophy as graduate students:

- Space occupied by undergraduate students can be considered Organized Research (OR) space when the student is funded from OR projects.
- If the undergraduate student is funded through departmental funds, then the space they occupy should be coded as Instruction/Department Research (IDR).
- If the undergraduate student is paid by OR and non-OR funds, spaces occupied must reflect both activities unless separate spaces are provided to perform each activity.
- If the undergraduate student is utilizing lab space and not being paid or is receiving course credit (x99) that space should be coded as IDR.

Research Laboratory Facilities (Continued)

Undergraduates—Consider Relative Time Spent in a Research Lab

- Since undergraduates normally will occupy space for a fraction of an FTE, it is important to consider time occupied in estimating functional usage percentages.
 - For example, if one undergraduate student is enrolled in a 4 unit independent study course was an occupant of a lab for one semester, and the normal load was around 16 units, the calculation might be: $1/4 \text{ time} \times 4 \text{ months}/12 \text{ months} =$ about 0.1 FTE. If the lab had a total of 10 occupants during the year, then each occupant used approximately 10% of the space. This undergraduate's 0.1 FTE might then account for about 1% (0.1×0.1) of the functional usage of the space, which should be coded as IDR.

Research Laboratory Facilities (Continued)

Postdoctoral fellows

- Functional usage follows salary or stipend source. If a postdoc is paid from Organized Research project funds or a research training grant, the space occupied is coded as OR. Contact us if you have questions about how a grant or fellowship has been coded in the F&A system.

Visiting scholars

- Functional usage follows salary or stipend source. A visiting scholar entirely funded by his or her home institution or government and who receives no funding through the campus occupies space that should be coded as Other Institutional Activities.

Research Laboratory Facilities (Continued)

Animal Care Facilities

- Rooms in animal research facilities--procedure rooms, operating and recovery rooms, isolation rooms, and quarantine rooms directly related to research protocols, as well as rooms that house animals involved in research that are not generally removed from the facility for conducting research, should be coded as OR.
- Rooms other than those used for research as defined above, such as administrative offices and support rooms should be coded as OIA.
- Normal survey defaults, e.g., offices to JNT, do not apply to animal facilities.

Research Laboratory Facilities (Continued)

Other Considerations

- Professional judgment is the key; an “exact science” will become too complex.
- First-hand knowledge is required.
- Visiting professors and emeritus faculty are not Organized Research (OR) unless they are working on OR projects and are supported by OR funds.
- Seed money, departmental startup funds, and Instruction/Department Research (IDR) are not OR.
- Pay attention to graduate research assistants, students in the space, and how they are funded.
- Committed cost sharing should be treated as OR.

Areas of Special Consideration

- Space should only be considered 100% Organized Research (OR) if everything in that room is fully supported from OR funds.
- Beware of patterns (i.e. all rooms 95% OR, 5% DR).
- Functionalize based on 7/1/14-6/30/15 usage.
- Any other coding questions?

Timeline

- Space survey should be completed by August 2015
- Campus staff & consultants may conduct follow-up interviews with certain departments.
- F&A Rate Proposal due to DHHS December 31, 2015 (extension likely)
- DHHS will likely conduct an on-site review during the FY15-16 academic year.

Contact Information

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