Facilities & Administrative Cost Space Survey
Instructions for Completing the Survey
Survey Period

May 30, 2019 – June 21, 2019

Daily access to the application is from (7:00 AM until 11:00 PM.)

Application link:
https://myub.buffalo.edu/space_inventory

Supporting documentation link:
Available via UB Box
(Contact your FPMO or David Barnas for access)

Address questions regarding the web survey to David Barnas at djbarnas@buffalo.edu

Contacts

If you have any questions regarding the survey please contact:

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SECTION 1

Introduction

The Web Space Survey Application provides a listing of all spaces currently assigned to your department in the Physical Space Inventory (PSI). Please review, update and complete the survey in order to aid us in the recovery of the University’s Facilities and Administrative (F&A) costs related to Research Foundation (RF) sponsored awards.

We are collecting space utilization data of the RF sponsored awards for the fiscal period **July 1, 2018 – June 30, 2019**. The survey results will play an important part in the University’s F&A proposal submitted to the Department of Health Human Services. This proposal will form the basis for the negotiated F&A rates that will commence July 2020.

The main objective of the F&A portion of the space survey is to identify the University on-campus and leased space used by all projects funded through the RF, which includes federal and non-federal awards as well as awards funded through F&A recoveries.

Definition of on-campus: an RF award conducted in a facility, regardless of physical location that is owned or leased by the University. This includes rental space funded through F&A (indirect cost) recoveries returned to the campus from the Research Foundation for SUNY. In the RF award listing UB also has awards that are listed as “BOTH” – conducted in both an on and off campus facility. For this space survey please also capture any on-campus space related to these awards.

Each department will be responsible for the administration of the survey within your unit and are directly accountable for the results. A Research Foundation review of the space survey results will take place and a federal audit is expected, so we ask that you give added attention to the definitions for the assignment of space and room pro-rations.

Definition of project NACUBO: National Association of College and University Business Offices funding categories. The NACUBO classifications provides a functional classification for expenses and are critical for the calculation of the campus F&A rate. Expenditures are classified based on the NACUBO classification at the project level.
General Guidelines:

- Individuals completing the space survey should:
  - Have **first-hand knowledge** of how the space was used during this fiscal year.
  - Be familiar with the funding sources related to the people and activities in the space (RF grants, departmental funds, SUNY (State) accounts, etc.)
  - Identify the PI and occupants to space. May need to contact/meet PI’s to gather necessary information.

- When evaluating the usage of a space, it is important to take into consideration all of the activities that occur within that space to give recognition to the fact that spaces are often **not** used exclusively for one activity (i.e. 100% of the time). Things to consider:
  - Who occupies the room – faculty, graduates, undergraduates, visiting professors, technicians, etc.?
  - How many of each type (e.g. faculty, graduates, etc.) are in the room?
  - How are the people in the space funded (i.e. from RF grants and contracts, SUNY (State) or other RF funds, not paid etc.) for the work that they are doing in the room?

- Ensure that all your space is reflected in the inventory.

- Ensure room descriptions and room numbers are correct.

- Ensure room square footage seems reasonable.

- Please ensure that the current usage percentages (see Section 2) for each space totals to 100%.

- **Users of Space** – Please note that in Section 2 additional occupant names are required for RF organized research, and other sponsored activities. Please identify any individuals who USE the space, by placing their name in the Occupants Add section of the survey. If the name is not in the list please use, the Comments on Function Assignments / Other Users field in the Space Functions section of the survey.
In order to ensure survey completeness, additional attachments have been included. The documents are called **RF Awards Listing** and **RF Employee Listing**. The RF Award listing identifies all RF administered awards with expenditures 7/1/18 – 4/30/19 assigned to your department, sorted by Principal Investigator and then award number located in each department’s folder. The employee listing includes the names of the individuals that received direct salary from RF awards or individuals who are cost sharing or on RF IFR process during 7/1/18 – 4/30/19:

_These are available to you via your FPMO._

Please ensure you have accounted for all on campus awards, investigators and the space they occupy.
SECTION 2

Guidelines for the Assignment of Space Functional (Usage) Categories and Percentages

The objective is to identify the type and percentage of activity occurring in a space based on one of the functional/usage categories listed below. Using the web space application (See Appendix 1) identify the type and percentage of activity for each space. The six functional/usage categories are:

- Instruction and Departmental Research (IDR)
- RF Organized Research (RFOR)
- RF Other Sponsored Activity (RFOSA)
- Organized Activities - Departmental Administration (OADA)
- Inactive Space (INAC)
- Other Institutional Activities (OIA)

The six functional categories for this year’s study are defined below.
1. **Instruction and Departmental Research (IDR).** The department should determine the percent prorated to IDR. Space should be coded to this category if it’s for teaching and training activities of the institution.

   These are teaching and training activities, whether offered for credits toward a degree or certificate or on a non-credit basis, and whether offered through regular academic departments or separate divisions, such as a summer school division or an extension division. It includes classroom teaching, preparing instructional materials, preparing and grading examinations, etc. It also includes RF sponsored training activities.

   Additionally:

   - “Departmental Research” – Research, development and scholarly activities that are not separately budgeted or accounted for on an individual project basis. It is research conducted by an individual that is not associated with any particular sponsored research project. It is supported by departmental funds, gift accounts and start-up funds that the University has discretion on how the funding can be utilized.

   - Space utilized by staff funded from the following Research Foundation awards should also be assigned to IDR. The awards are financed by Federal and non-Federal agencies and some awards are financed with internal RF funds. To determine if your department has any RF awards that fall under IDR please check the [project NACUBO code](#) column on the RF award listing for the following:

     - **Training**
     - **Fellowship**
     - **Academic or educational support**
     - **Institutional and departmental support** awards that are not Service and Facility accounts.
     - **Instruction and department research**
     - **Departmental administration**
     - **Sponsored program development**
     - **Organized Activities**

   - SUNY (State) or other employees who have cost sharing on RF sponsored training projects and/or receiving salary offset (IFR) from training projects.

   - SUNY (State) funded graduate assistants doing research in labs or other spaces is IDR. Also, an individual working on an RF organized research award for course credit is IDR.

   - SUNY faculty who do not have any RF awards.
2. **RF Organized Research (RFOR).** Space coded to this category includes all research and development activities sponsored by Federal and non-Federal agencies and organizations and flow through the Research Foundation.

These are activities organized to produce research and achieve specific research goals. This activity includes externally funded research or research funded from unrestricted funds (RF internally funded) and is accounted for and budgeted separately.

Additionally:

- The department should determine the percent prorated to RF Organized Research and it must represent only the portion of the space used by the RF research award associated with the occupant(s). Your Schools FPMO supplies the RF Awards Listing to you. The research award will be identified with a project NACUBO code of organized research on the listing.

- **RF Federal or Federal Flow Through Clinical Trial Awards** are also included in RF Organized Research. These are studies on human subjects conducted to allow safety and efficacy data to be collected for health interventions (e.g., drugs, devices, therapy protocols). These awards will also have a project NACUBO code of organized research on the listing. **Space related to nonfederal clinical trials such as industry sponsored awards should be reported under RF Other Sponsored Activities.**

- Also included in RF organized research percent is space used by SUNY (State) or other employees that cost share on research projects and/or receiving salary offset (IFR) from research projects.

- **Please note** that SUNY (State) funded graduate assistants doing research in labs or other spaces is **NOT** RF organized research but Instruction and Departmental Research (IDR). Also, an individual working on an RF organized research award for course credit is IDR.

- For each space, identify the Principal Investigator in the PI Assignment section of the application. If shared with multiple funded investigators, please identify those investigators in the PI assignment section as well. Identify three or four PI that predominately use the space.

- **Users of Space – Please note that in Section 2 additional occupant names are required for RF Organized Research and RF Other Sponsored Activities. Please identify any individuals who USE the space, by placing their name in the Occupants Add section of the survey. If the name is not in the list please use, the ‘Comments on Function Assignments / Other Users’ field in the Space Functions section of the survey.**
• Service and Facility - If a department has a service center (recharge center) and there are fees for services, the space for the center should be pro-rated to RF Organized Research and to other functions (usage) based on the departments billing records for the fiscal year. Examples of recharge centers are DNA facility, Genome facility, Microscopy Room, Clean Room, Machine or Electronics Shop, Storeroom.

3. **RF Other Sponsored Activities (RFOSA)**. Space coded to this category includes RF awards and projects financed by Federal and non-Federal agencies and organizations, which involve the performance of work other than instruction, and departmental research, and RF organized research.

RFOSA would include the following:

a) **RF Public Service Awards** – These activities or functions primarily provide non-instructional services beneficial to individuals and groups external to the institution. Examples are health service projects and community service programs.

b) **RF Nonfederal Clinical Trial Awards** – This includes RF awards financed by nonfederal sources such as industry-sponsored studies on human subjects conducted to allow safety and efficacy data to be collected for health interventions (e.g., drugs, devices, therapy protocols). **Space related to RF Federal or federal flow through clinical trials should be reported under RF Organized Research.**

c) **RF Other Sponsored Awards** – This would include externally funded sponsored awards that do not fall into IDR or RFOR.

• The department should determine the percent prorated to the RF Other Sponsored Activity and it must represent only the portion of the space used by the RF public service or nonfederal clinical trial awards from RF Awards Listing document. The public service projects will have a **project NACUBO code of public services** and the **nonfederal clinical trial awards** will have a **project NACUBO code of clinical trials** on the listing.

• Also included in the other RF Other Sponsored Activity percentage is space used by SUNY (State) or other employees cost sharing on public service or nonfederal clinical trial projects and/or receiving salary offset (IFR) from projects.

• **Please note** that SUNY (State) funded graduate students working on RF sponsored public service or clinical trial awards is Instruction and Departmental Research (IDR).
• For each space, identify the Principal Investigator in the PI Assignment section of the application. If shared with multiple funded investigators, please identify those investigators in the PI assignment section as well. Identify three or four PI that predominately use the space.

• **Users of Space** – Please note that in Section 2 additional occupant names are required for RF Organized Research, and RF Other Sponsored Activities. Please identify any individuals who **USE** the space, by placing their name in the Occupants Add section of the survey. If the name is not in the list please use, the ‘Comments on Function Assignments / Other Users’ field in the Space Functions section of the survey.

• Service and Facility - If a department has a service center (recharge center) and there are fees for services, the space for the center should be pro-rated to RF Organized Research and to other functions (usage) based on the departments billing records for the fiscal year. Examples of recharge centers are DNA facility, Genome facility, Microscopy Room, Clean Room, Machine or Electronics Shop, Storeroom.

4. **Organized Activities - Departmental Administration (OADA).** Space used by deans, department heads, administrative staff, secretaries, or clerical staff for administrative purposes, should be coded to this function. Examples: Space that is shared by the entire department also referred to as common use space such as copy rooms, faculty and staff lounges, mailrooms, and break rooms. However, please note the following additional examples:

• Administrative staff/secretaries – Secretaries or administrative personnel funded partially or entirely by sponsored sources (RF Organized Research or RF Other Sponsored Activities) should be prorated in proportion to his/her activities. The individual’s salary distribution may provide an indication of the duties.

• Secretaries or administrative personnel who are SUNY (State) funded (who are not cost sharing or receiving salary offset from RF awards) but also perform duties on RF organized research activities, sponsored training, sponsored public service or clinical trials should be allocated to organized activities.

• Faculty – If a faculty member is involved in department or campus committees then it would also be appropriate to allocate a portion of his/her office space to Organized Activities – Departmental Administration for the committee related work.
5. **Inactive Space (INAC).** Includes the following:

- **Vacant Space:**
  1. If the space was partially vacant for part of the base year of this survey (7/1/18 – 6/30/19) - pro-rate the function code to INAC based on number of months the space was vacant. For example, if it were vacant 3 months out of the year then 25% would be coded for INAC and the other 75% would be coded to some other function – possibly IDR, RFOR, etc.
  2. The Space Status field would be coded ACTIVE because it is active now. Of course, if it were currently vacant then the Space Status would be VACANT.
  3. If however, the space was vacant the entire year then the function code would be 100% INAC and the Space Status field would be VACANT.

- **Alteration or Conversion Area:**
  1. The same rationale used for vacant space applies to space under rehabilitation.
  2. If the space was partially in construction for part of the base year of this survey (7/1/18 – 6/30/19) - pro-rate the function code to INAC based on number of months the space was in construction. For example, if it were in construction 3 months out of the year then 25% would be coded for INAC and the other 75% would be coded to some other function – possibly IDR, RFOR, etc.
  3. The Space Status field would be coded ACTIVE because it is active now. Of course, if it were currently under construction then the Space Status would be CONSTRUCTION.
  4. If however, the space was under construction for the entire year then the function code would be 100% INAC and the Space Status field would be CONSTRUCTION.
6. **Other Institutional Activities (OIA).** Used to capture space usage and awards not identified in the other assigned categories. Some of these rules are in place because of the F&A Survey and are not typical for regular space surveys.

Examples include:

- Visiting Faculty – Use the OIA code for visiting faculty doing research and are not being paid by RF or the University.
- Emeritus Faculty
- Volunteers
- Space utilized by staff funded from Research Foundation awards that have a project NACUBO code of Econ Dev (Economic Development) or Other Aux (Other Auxiliary) should be placed into OIA. To determine if your department has any RF awards that fall under this please check the **project NACUBO code** column on the RF award listing.
- Departmental Services – Departmental space used to provide services to an outside organization or company (Third Party Recharges, Staffing Services – RF employees working on UBF awards or other agency) – prorate a portion of the space to the OIA code.
- Other Funded Awards - Space used by awards funded through the University at Buffalo Foundation (UBF) should be OIA.
- Clinical Practice Plan Space – Code space to OIA for space where staff funded by clinical practice plan.
- Other Space – Code any space, not been classified into any other previous categories, with the OIA code.
SECTION 3

Space Allocation Examples

While many research laboratories are used predominately for RF Organized Research, other activities are typically conducted in the labs as well. Although these activities are incidental to the primary purpose of the space, they still must be considered when the space’s use is being evaluated. It is important to take into consideration the funding sources of the staff for the work they are doing in the room.

Space occupied by multiple individuals should consider the frequency and extent of their presence in determining the percentage of functional activity. Campuses can use FTE’s, salary information, a combination etc. to support space pro-rations.

Examples follow below.

Laboratory Space

- 100% RF Organized Research Rooms – The Federal government pays particular attention to rooms coded as 100% RF organized research when students are in the space. If a research lab has staff (including students) that are only funded from an RF organized research award a portion of the space should still be prorated to Instruction and the remaining to RF Organized Research.

- If a research lab has three occupants: one post doc paid 100% from RF organized research grant for her work in the lab, a .50 FTE graduate student paid 100% from SUNY department operating funds for his work in the lab and the PI’s effort to RF organized research is 70%. The lab room would be pro-rated 78% to RF organized research (RFOR) and 22% to IDR.

<table>
<thead>
<tr>
<th>FTE in Lab</th>
<th>RFOR</th>
<th>IDR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Post Doc</td>
<td>1.0</td>
<td>1.0</td>
</tr>
<tr>
<td>Grad Student</td>
<td>0.5</td>
<td>0.5</td>
</tr>
<tr>
<td>PI</td>
<td>0.70</td>
<td>0.70</td>
</tr>
<tr>
<td>Total</td>
<td>2.20</td>
<td>1.70</td>
</tr>
<tr>
<td></td>
<td>100%</td>
<td>78%</td>
</tr>
</tbody>
</table>
• If a research lab has three occupants: post doc paid 100% from RF organized research grants for his work in the lab. Lab technician paid 50% from RF organized research grant and 50% SUNY department funds for his work in the lab. PI’s effort to RF organized research is 60%. The lab room would be pro-rated 81% RF organized research (RFOR) and 19% IDR.

<table>
<thead>
<tr>
<th></th>
<th>FTE in Lab</th>
<th>RFOR</th>
<th>IDR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Post Doc</td>
<td>1.0</td>
<td>1.0</td>
<td></td>
</tr>
<tr>
<td>Lab Tech</td>
<td>1.0</td>
<td>0.5</td>
<td>0.5</td>
</tr>
<tr>
<td>PI</td>
<td>0.60</td>
<td>0.60</td>
<td>0.5</td>
</tr>
<tr>
<td>Total</td>
<td>2.60</td>
<td>2.10</td>
<td>0.5</td>
</tr>
<tr>
<td></td>
<td>100%</td>
<td>81%</td>
<td>19%</td>
</tr>
</tbody>
</table>

• Many laboratories have desks assigned to graduate students who, on occasion, use the space for instructional-related activities. The instructional use should be captured as such in the space proration.

• If a space is used only for RF Organized Research, prorate a small portion to Instruction and the remaining to RF Organized Research even if the space is used less than full time.

Research Support Space

• Space used for shop space, autoclaves, washing equipment, dark rooms, cell culture, cold/warm rooms and storage spaces should be prorated based on the activities of the lab/PI’s it supports (Instruction and Departmental Research, RF Organized Research, RF Other Sponsored Activities, and/or Other Institutional Activities).

Office Space

• Faculty offices - If the faculty member’s salary is partially or entirely funded by sponsored sources then the faculty office should be prorated in proportion to his/her activities. A faculty office should also be prorated for members who are cost sharing on RF Organized Research, RF Other Sponsored Activities, or the University is receiving salary offset (IFR) from RF awards. If a faculty member is involved in department or campus committees then it would also be appropriate to allocate a portion of his/her office space to Organized Activities for the committee related work.
TA-GA Offices

- A TA/GA office should be prorated in proportion to the activities and funding sources supporting the individuals work in the space. Some offices may be shared between SUNY funded TA's/GA's and RF funded Research Assistants (RA's/GRA's) paid from RF organized research. The space should be prorated to Instruction and RF organized research.

Service (Support) Spaces

- Spaces which are used to service (support) other spaces should have the same functional classification as the space being serviced. Rooms that directly serve an office or group of offices as an extension of the activities in those rooms should be coded based on the activities in the rooms they are supporting.
APPENDIX 1 – Screen shot of space application data update form