**FREQUENTLY ASKED QUESTIONS**

**FACILITIES AND ADMINSITRATIVE COSTS**

**SPACE SURVEY 2015**

1. ***What is an F&A Space Survey?***

A space survey is an integral part of preparing the periodic Facilities and Administrative (F&A) cost proposal that establishes the campus’ F&A (also known as “indirect costs” or overhead) reimbursement rates for extramurally-funded programs, like research. The main goal of our space survey is to “functionalize” or determine what type of activities (e.g. Instruction, Organized Research, Administration, etc.) were conducted in specific rooms. Ultimately, we want to identify where Organized Research is conducted across campus and relate the occupants and funding sources associated with that research activity.

1. ***Why is it important?***

Recovery of these costs is an important part of the campus financial model, accounting for the reimbursement of more than $120 million in costs each year. Data obtained from a space survey is used to document and demonstrate the campus’ use of facilities in support of sponsored programs. Accurate space functionalization data allows us to justify reimbursement of facilities-related research expenses (building-related interest expense, building depreciation, operation and maintenance of plant, etc.) in our rate negotiation with the federal government.

1. ***Do we have to do one?***

Yes. A space survey, while labor intensive, is the most accurate and reliable means of collecting data on facility use. For our F&A proposal, we generally seek data on research-intensive space only. In particular, we will focus on research rooms, animal facilities, and departmental recharge centers.

1. ***What period of time will the survey cover?***

The survey data collected will be a reflection of how specific spaces were used for the FY14-15 academic year, or ***from July 1, 2014 through June 30, 2015******only***.

1. ***How is a space survey conducted?***

This year, unlike past space surveys, we will conduct in-person visits with each department to collect the necessary information. However, just like previous years, we will be taking a look at only research room types, animal spaces, and recharge centers. Our F&A team will reach out to departments to schedule the planned in-person reviews.

1. ***How long will it take?***

The entire survey will take about 3 months, beginning in June and ending in August. Total departmental/unit time will vary by the amount of research-related space housed and the number of PIs occupying that space. We expect to survey one building per day on average, with some buildings taking a few days (Valley Life Sciences building, for example) and others much less than one day (Calvin Laboratory, for example). Visits with individuals during each day will likely take less than 10 minutes, enough time to ask a few questions regarding the use of space during FY14-15.

1. ***Is there a published schedule for the space survey?***

We’ve organized the survey by building. A tentative schedule is posted on our website: <http://scr.berkeley.edu/fa>. The schedule is subject to change, but should give a rough idea of when the survey will be conducted and in which buildings. If your department anticipates heavy conflicts on your scheduled day, please contact us immediately (see contact information at the end of this section).

1. ***What data do we actually have to provide?***

We are looking for three main data points for each surveyed room: Principal Investigator (where appropriate), PI email, and “functional use” of the survey room.

“Functional use” is the pivotal piece of information and seeks to describe how each survey room was used along specific federal definitions:

(OR) Organized Research

(IDR) Instruction

(OSA) Other Sponsored Activities

(JNT) Joint Use

(VAC) Vacant

PI name and email will help us later to supplement the space survey data with sponsored agreement fund numbers, which our team will assign to rooms.

1. ***How can we prepare for the survey?***

Preparing for the survey will hopefully be easy! The most efficient way to prepare might be to:

(1) identify a person (or people) who will the survey point(s) of contact. This person should have firsthand knowledge of how space to be surveyed was used during FY14-15.

(2) ensure that the point of contact has read the space survey slide deck posted to our website, especially the federal definitions of activity/functions as listed in the question above. We will ask your selected department contact(s) a series of questions about how the rooms were used, so that together we can “functionalize” the space according to federal definitions.

(3) if functionalizing recharge center space, summary billing information will guide the functionalization process

1. ***Who will be interviewed to functionalize the space?***

People to be interviewed are those who have firsthand knowledge about how the space was used during FY14-15. In some cases it might be the building manager, the Principal Investigator, lab managers, and/or research staff.

In all cases, those interviewed will be asked about 5 questions about the use of the room, then asked to estimate how the room was used according to federal definitions (see question #8 above)

1. ***Will there be training?***

Training will be provided in the form of a slide deck located on our website: <http://scr.berkeley.edu/fa>. In addition, when we interview each contact person, we will provide an overview of the process. We are always available to answer questions or provide support--see contact info provided in section below.

1. ***Can we access the data once it is collected?***

Yes! We can make the information available to all who request it. Please send email to any of the contacts listed below in the section below to request the data.

1. ***What is “Organized Research”?***

“Organized Research” (OR) means activities that are separately budgeted and accounted for, funded by third parties (sponsored research) or university-funded grant programs. Sponsors may be federal or not. Organized Research activities include mandatory and committed cost sharing and research training grants. OR is *NOT*: instruction, start-up, retention, gift funded, community service or administrative activity.

1. ***What are “research room types”?***

Only a specific subset of rooms will actually be surveyed as identified through a “room use code”. The campus official space inventory database is the source of information about room use codes and we will rely on that data to determine which spaces we will survey. These include primarily “research room types,” or: research labs, research offices, research lab service, and research office service rooms. In addition to these research room types, we will survey departmental recharge center space and animal facility space.

1. ***What if I don’t think we should or should not be surveying a room on the list?***

If you believe a room to survey is not yours or if rooms seem to be missing from your list, please contact the F&A team to discuss (contact information below). It may be that the room in question is not targeted for survey or it is assigned to a department that is not a survey department. It might also be an error! So, please reach out to the F&A team to be sure.

1. ***Where can I get more information?***

More information can be found on the F&A website (http://scr.berkeley.edu/fa), in [bcal](https://www.google.com/calendar/render?pli=1#main_7%7Cmonth) (account name: “indirect costs” for survey schedule) or by contacting any member of the F&A team:

Connie Hsu 510-859-6000 conniehsu@berkeley.edu

Paula Milano 510-847-0899 pmilano@berkeley.edu

Sarah Viducich 510-642-1781 slvid@berkeley.edu

**SPACE SURVEY EXAMPLES**

The space survey is not strictly coding rooms as “research” or not. Instead, it requires a bit of finesse and an understanding and interpretation of who occupied the space and how they were paid. Below, we provide a few examples of common grey areas and how we recommend approaching them. In general in might be helpful to start with an assumption that research rooms begin at 100% OR functionalization, then find instances where 100% would not be appropriate and make adjustments from there.

1. ***How do we think about functionalizing space occupied by students?***

Functionalizing space occupied by students can be tricky. The key is to recall: (1) how those students were compensated, or not, and (2) how much time they spent in the specific space.

Example: an undergraduate in a research lab for course credit (no compensation) would be considered “Instruction.” However, the room’s final percentage allocated to Instruction also depends on other people/activities in the room. If the room is populated by primarily full-time researchers, the allocation to Instruction might be only a few percentage points, while the allocation to Organized Research might be Well above 90%

Example: Lab space occupied by graduate students paid from research funds would carry an OR coding, but again, this must be evaluated against all other occupants/activities of the room during the year as well.

1. ***What if the graduate student is paid from both OR and Instructions funds?***

If a graduate student is paid from both OR and Instruction funds, think about where the student carries out the functions of each paid role. If separate spaces are provided to each role, then you only need to consider the role specific to that space. If separate spaces are not provided, then we must estimate the amount of time spent in the room in each specific role in order to properly functionalize the room.

1. ***How do we think about coding space occupied by visiting scholars?***

Like graduate students, the key will be in knowing how visiting scholars are paid. If they are paid from OR funds administered by UC Berkeley, then coding the space to OR makes sense. However, if they are not paid from UC Berkeley or are paid from non-OR funds (like gift funds), then the space cannot be wholly coded to OR; some portion of the space (proportionate to the length of their occupancy when compared to all other occupants for the whole year) would have to be coded to a non-OR function.

1. ***How do we code space for faculty on sabbatical?***

As in other examples, we recommend looking at who was in the space and how they were paid to determine how to code the space. For example, if the faculty member paid him/herself from his/her research award and occupied the space, then an OR designation would be appropriate. If however, the space was temporarily reassigned during his/her out-of-residence sabbatical, them the actual occupant’s utilization and source of payroll support will inform the coding.

1. ***How do we code space that is vacant?***

Space is considered vacant only if it is not occupied for more than 6 months of the year. If the space is occupied for 6 months and one day, we code the space as if it were occupied in that fashion for the entire year. *In other words, a vacant coding is either 0% or 100%.* There is no need to code a room as partially vacant if not occupied for a period of time of less than 6 months.

1. ***How do we code space that is occupied by administrative staff?***

It is important to evaluate the funding source for administrative staff before functionalizing space. If the staff members are paid from research awards, then their space should be classified as a Research Office and should be functionalized. If the administrative staff are not paid from research awards, then the room type should be “Other Office,” and our F&A team will functionalize the space for you.

1. ***How do we code space for departmental recharge centers?***

Departmental recharge centers can occupy spaces that have a variety of room use codes. We want to functionalize all spaces for departmental recharge centers regardless of the room type. However, instead of using how the recharge center staff members are paid (as with administrative staff in the question above), we will use the billings of the recharge center to functionalize the space. For these activities, it is helpful to identify the rooms that each recharge entity occupies and the relative mix of funds charged for their services for FY14-15.

1. ***How do we code space for animal facilities?***

The F&A team will work with the Office of Laboratory Animal Care (OLAC) to functionalize animal facility space. The rules regarding these support spaces are specific and unique. We will not ask PIs or departmental personnel to functionalize these spaces.

1. ***How do we code open laboratory spaces and other spaces that are shared amongst many PIs and researchers?***

Shared spaces can be challenging but in general, the same principles that used to code other spaces apply to open, shared spaces: we use the relative occupancy of the individuals that occupied the space during FY2014-15 and the fund sources that pay their salaries as a guide.