Space Activity Coding and F&A Rates

Contact for Space Activity Coding and F&A Proposal:

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May 2017
F&A (Indirect Costs) Rate Negotiation
Why Space Survey is Important for F&A Proposal

- Facilities & Administrative (F&A) Rates are used by Federal Agencies to reimburse Indirect Costs
  - Federal Government will reimburse for its equitable share of F&A expenses associated with conducting research

**Organized Research Rate:**

- Administrative Rate – Capped at 26%
- Facilities Rate – Uncapped; Space Survey is Main Driver for Facilities Components. **Comparison:**

<table>
<thead>
<tr>
<th>FY</th>
<th>F&amp;A RATE</th>
<th>ADMIN</th>
<th>FACILITIES</th>
<th>INCREASE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY07</td>
<td>52.5</td>
<td>26</td>
<td>26.5</td>
<td>1.5</td>
</tr>
<tr>
<td>FY10</td>
<td>54.5</td>
<td>26</td>
<td>28.5</td>
<td>2.0</td>
</tr>
<tr>
<td>FY14</td>
<td>58 for FY18</td>
<td>26</td>
<td>32</td>
<td>3.5</td>
</tr>
</tbody>
</table>
Support from Central

• SIMS Access (user id and password) and system related issues:
  Anne McDermott
  anne.mcdermott@northwestern.edu or 847-647-5240

• Space Activity Coding, Funding Information for the Research Space:
  Sophia Gabay
  s-gabay@northwestern.edu or 847-467-1142, or
  Jennifer Mitchell at
  jmitchell@northwestern.edu or 847-467-2473
FY17 Space Survey

- Survey period: **9/1/2016 to 8/31/2017**
- SIMS going live in **May 2017** for FY17 Space Survey
- Deadline for completion: **7/17/2017**
- Training and Open Labs

### The training dates and locations are:

- **Thursday, May 4, 2017**
  Civil & Env Engineering Conf. Room, A230
  1:00 PM – 2:30 PM

- **Tuesday, May 23, 2017**
  Ruan Conference Center - Lower Level
  10:00 AM – 11:30 AM

### The open lab dates and locations are:

- **Tuesday, June 27, 2017**
  2122 Sheridan Rd, room 260
  1:00 PM – 4:00 PM

- **Wednesday, July 12, 2017**
  2122 Sheridan Rd, room 260
  9:00 AM – 12:00 PM
SIMS FY17 Website: [http://simsweb8.ci.northwestern.edu](http://simsweb8.ci.northwestern.edu)
Then, click on Current Northwestern University Space Survey

<table>
<thead>
<tr>
<th>9 Steps</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Select a Room to Edit</td>
<td><strong>Must</strong> review/confirm the room list before editing</td>
</tr>
<tr>
<td>2. Room Information</td>
<td><strong>Must</strong> confirm or update</td>
</tr>
<tr>
<td>3. Update Department Assignments and Station</td>
<td><strong>Must</strong> confirm or update</td>
</tr>
<tr>
<td>4. Select Assignees and Productivity Department</td>
<td><strong>Must</strong> confirm or update</td>
</tr>
<tr>
<td>5. Complete Room Activity Information</td>
<td>Labs vs. other Room Types – <strong>Must</strong> complete accordingly</td>
</tr>
<tr>
<td>6. Complete Occupant Information</td>
<td><strong>Must</strong> confirm or update</td>
</tr>
<tr>
<td>7. Lab Users Information</td>
<td><strong>For room type 2xx only, Must</strong> complete</td>
</tr>
<tr>
<td>8. Write a Brief Comment</td>
<td>Optional</td>
</tr>
<tr>
<td>9. Submit/Save Changes</td>
<td><strong>Must</strong> click Save Changes after editing</td>
</tr>
</tbody>
</table>
1. Room Listing After Logon

## Facilities Management - Planning
Space Information Management System

**Department Name:** Materials Research Ctr

1. **Select a Room to Edit**

   ✅ Rollover for instructions

<table>
<thead>
<tr>
<th>Building Code/Description</th>
<th>Room Number</th>
<th>Room Description</th>
<th>Room Type</th>
<th>Area</th>
<th>Confirmed Date</th>
<th>Pending Charge</th>
</tr>
</thead>
<tbody>
<tr>
<td>Edit 8735 TECHNOLOGICAL INSTIT</td>
<td>-K109</td>
<td>Supply Closet</td>
<td>313 ADMIN. OFFICE</td>
<td>9.33</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8735 TECHNOLOGICAL INSTIT</td>
<td>-K111</td>
<td>MRC OFFICES</td>
<td>315 OFFICE SERVICE</td>
<td>387.59</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8735 TECHNOLOGICAL INSTIT</td>
<td>-K119</td>
<td>MRC Staff Office</td>
<td>313 ADMIN. OFFICE</td>
<td>124.77</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8735 TECHNOLOGICAL INSTIT</td>
<td>-K121</td>
<td>MRC Staff Office</td>
<td>313 ADMIN. OFFICE</td>
<td>124.71</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8735 TECHNOLOGICAL INSTIT</td>
<td>-K123</td>
<td>MRC Staff Office</td>
<td>313 ADMIN. OFFICE</td>
<td>216.20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8786 COOK HALL (MLSB)</td>
<td>01016</td>
<td>MRC X-RAY Facility</td>
<td>250 NONCLASS LABORATORY</td>
<td>2109.71</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8786 COOK HALL (MLSB)</td>
<td>01018A</td>
<td>MRC Xray DARKROOM</td>
<td>250 NONCLASS LABORATORY</td>
<td>90.39</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8786 COOK HALL (MLSB)</td>
<td>01018B</td>
<td>MRC XRAY Mgr. Office</td>
<td>310 FACULTY OFFICE</td>
<td>143.80</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8786 COOK HALL (MLSB)</td>
<td>01034</td>
<td>MRC CLaMMR</td>
<td>250 NONCLASS LABORATORY</td>
<td>1952.29</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit 8786 COOK HALL (MLSB)</td>
<td>01072A</td>
<td>MRC Xray chemical rm</td>
<td>255 NONCLASS LAB SERVICE</td>
<td>120.25</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total page 5

2. **Room Information**

   ✅ Rollover for instructions

**Room Description:** MRC OFFICES

**Room Type:** 315_OFFICE SERVICE

**Program Classification:** 20_RESEARCH
2. Room Information – Review Room Type

<table>
<thead>
<tr>
<th>Room Description</th>
<th>Room Type</th>
<th>Program Classification</th>
</tr>
</thead>
<tbody>
<tr>
<td>MRC Staff Office</td>
<td>313. ADMIN. OFFICE</td>
<td></td>
</tr>
</tbody>
</table>

If you wish to request a change in the Department Assignment for this room, please click the button to the right.
4. Select Assignees and Productivity Department

- Productivity Department is used in the F&A Proposal to determine the department assignment for the space.
5. Room Activities

- For Room Type Not in 2xx (e.g., an office), select 0020 Salaries & Wages Calculation, 100%
- For a lab (room type 2xx), see the instructions of coding a research lab (later slides)
What is Activity Code for Step 5?

A 4-digit designator indicating the type of activity occurring in the room
Activity Coding Change Starting FY13

Review Room Types Under 2. Room Information:

• Room Type 2xx:
  ▪ Pay special attention to Research Labs, Research Support Rooms, etc. Code these rooms with sufficient details and back-up documents (e.g., funding of the users)

• Other Room Types(room type not 2xx):
  ▪ Select Salaries & Wages (Activity Code 0020), 100% for Activity Coding.
  ▪ Exception: CCM
6. **Complete Room Occupants**

- Including all occupants and/or select the options

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**6. Complete Occupant Information**

Retire for instructions

**Last Name**

[Retrieve Occupant List]

-OR-

Select Occupant from the list using checkboxes (where applicable, see instructions)

- No Occupant
- Undergraduate Student
- Graduate Student-Funded
- Graduate Student-Unfunded
- Visiting Faculty/Researcher/Scholar
- Emeritus Faculty
- Non NU Employee/Faculty (NMFF, NMH, etc.)
7. Lab Users Information

- When the room is not a lab (room type not in the 201 to 299 range), input for #7 is not needed
7. Lab Users Information

• When the room is a lab (room type between 201 and 299), input for #7 is **Required** except:
  – If it’s a recharge facility, select Recharge Facility instead
  – If it’s shared by all department research staff, select the second option instead (rarely used)

**7. Lab Users Information**

*Note: New Field in FY 13 - Only available for spacetypes 201 - 299.*

**Rollover for instructions**

Last Name

- OR -
Select Lab Charges from the checkboxes (where applicable, see instructions)

Note: In cases where a room is shared by more than one lab user, this list should reflect ALL of the lab users for all departments in a room
Need More Information?
- See Rollover Instructions for each step

• Click on the information icon to review instructions
• For step-by-step instructions, click Survey Instructions on top of the screen. Instructions in PDF are available
9. **Save Changes / Submit**

- Before moving on to the next room, you **MUST** click Save Changes to preserve the edit.
Do you need to survey a Research Lab?

- Room Type 201 – 299
- Room Type 210 and 215 (Class Lab) should be 100% Instruction
Completing Space Activities and Percentages for a Lab (#5 in SIMS)

- The %Activity should reflect the Aggregate activity for the surveyed fiscal year.
- If multiple activities occur in a room, estimate the proportionate percentages based on Users, Funding, and Activities that occurred in the room (see later slides for space coding approach).
- % should be estimated to the nearest 5% interval.
- The sum of %s must equal 100%.
Suggested Steps for Coding Research Labs

1. Review and confirm Room Type
   - SIMS, 2. Room Information, Room Type

2. Find and document who used the lab (Lab Users)
   - Lab occupants are a subset of Lab Users
   - Faculty, grads, visitors, technicians, NMG paid users?
   - If needed, reference NSIS to obtain initial user list
     (* NSIS: Northwestern Safety Information System)

3. Obtain Funding information for these users
   - Unpaid users (visitors) are coded as Other Institutional Activity (0016)
   - Identify funding source for Instruction, Organized Research, Other Sponsored Activities (Fund Code 630), Clinical Trials (Fund Code 640), Service Centers (Fund Code 160), etc.
   - Fund Code 610, 620, & 650 may be Sponsored Research, Sponsored Training, or Other Sponsored Activity depending on the purpose of the award
   - Salary % Distribution, 9/1/16 to 5/31/17, will be available the week of June 12th; contact us if you need the information
Suggested Steps for Coding Research Labs
(continued from last slide)

4. Find what activities occurred while the users were IN THE LAB
   – Reference funding information. If Funding for Sponsored Research is high, % Activity may be high too.
   – PI’s time in the lab generally is 100% Sponsored Research as long as he/she has at least one paid sponsored research project

5. Coding Activities
   – Prorate using Total Time the lab was in use (e.g., may not be 8 hours a day)
   – Weighted average (e.g., considering %FTE and frequent users)
   – % Activity Coding based on User, Funding, Time Spent (except recharge centers and CCM)
   – Contact Cost Studies if you need a template for the coding

6. Maintain funding information as supporting document
Scenario 1: Professor Grant is 50% funded by 2 NIH R01’s and 50% funded by departmental funds. How do you code his activity in the lab?
– Working in his research lab: 100% Sponsored Research
– Working in his Office: 100% Salary and wages distribution – Code 0020

Scenario 2: Professor Grant was 100% funded by start-up funds for the entire year and is waiting for his proposals to be awarded. How do you code his activity in the lab?
– 100% Departmental Research

Scenario 3: 2 graduate students are funded 100% on research grants and they have shared desks in the lab. While working in the lab, they sometimes check email, preparing for class exams, etc. How do you code the activities in the lab?
– Include Instruction; % is coded depending on the proportional amount of time spent on non-research activities
Funding Information

- “Must Know” before deciding activity coding
- Consider only the Activities that happened in the lab
  Example: Most PI’s do not write proposals in the lab
- If you are not sure, reference the Class Code (purpose of the activity) of the chartstring or Award Description/Type
  - A Class Code is assigned to Project ID or Dept ID (Project ID precedes Dept ID) in NUFinancials
- F&A Rate is another good indicator
- Example:

<table>
<thead>
<tr>
<th>EMPID</th>
<th>EMPNAME</th>
<th>TITLE</th>
<th>CHART STRING</th>
<th>CLASS CODE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1029999</td>
<td>Johnson, Jack</td>
<td>Assoc Professor</td>
<td>171-54xx000-30009614</td>
<td>DEPT RESEARCH - 107</td>
</tr>
<tr>
<td>1029999</td>
<td>Johnson, Jack</td>
<td>Assoc Professor</td>
<td>610-54xx000-60001234</td>
<td>SPON RESEARCH - 110</td>
</tr>
</tbody>
</table>

Class Code Definition (every chartstring has a class code):  
http://www.northwestern.edu/coststudies/functional.html
# Activity Coding Examples

<table>
<thead>
<tr>
<th>Activity</th>
<th>Activity Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Working on an R01</td>
<td>Sponsored Research</td>
</tr>
<tr>
<td>Working on a NSF award</td>
<td>Sponsored Research</td>
</tr>
<tr>
<td>Working on a NRSA Training Grant (account 60076)</td>
<td>Sponsored Training</td>
</tr>
<tr>
<td>Paid from Scholarships/Fellowships (Account 78050, etc.)</td>
<td>Instruction or Dept Research</td>
</tr>
<tr>
<td>Visiting students or researchers NOT Paid by NU, but working in labs</td>
<td>Instruction or Other Institutional Activities</td>
</tr>
<tr>
<td>(no NU chartstrings)</td>
<td></td>
</tr>
<tr>
<td>Cost Sharing using Fund 192 or a dept fund</td>
<td>Follow the “Cost Share To” Parent Chartstring</td>
</tr>
<tr>
<td>Working on developing a new research idea and funded by a start-up or</td>
<td>See Above; If not cost shared:</td>
</tr>
<tr>
<td>discretionary fund</td>
<td>Departmental Research</td>
</tr>
<tr>
<td>Working on a research project awarded by Cancer Center through</td>
<td>Sponsored Research</td>
</tr>
<tr>
<td>competition</td>
<td></td>
</tr>
<tr>
<td>Seeing patients, NMG activities</td>
<td>Non-University Activity</td>
</tr>
<tr>
<td>Lab being renovated for a new PI coming next FY</td>
<td>Under Construction</td>
</tr>
<tr>
<td>Recharge Subsidy provided by Deans or Office for Research</td>
<td>Departmental Research</td>
</tr>
</tbody>
</table>
Activity Coding Update

• Vacancy

Space assignable to a unit and occupant but not in use during the year. Rooms under construction or currently deemed to be “not-safe-to-occupy” should not be considered as vacant and should be classified as under construction. This category should not be used for temporary vacancies due to terminations or personnel changes, programmatic idleness, etc. In these cases, the planned use or use for the majority of the fiscal year should dictate the functional breakout of the room. Please contact us for further discussion.
Student Space

- **Dual Roles Consideration:**
  - Learning implicitly occurs as a student → Instruction must be considered
  - Consider course workload when coding Instruction
    - Higher % Instruction for undergraduate students

- **Sponsored Research**
  - Research Assistant role
  - Generally, supported by sponsored research projects

- **Student Aid**
  - Direct Loans, Federal Work Study, Pell grants → Instruction

- **Fellowship/Scholarship:**
  - If also supported by another sponsored project (on 60076), use the class code of the project
  - If **No** sponsored projects are involved (Fund Code below 600) → Instruction
  - If Sponsored Projects are involved → follow the sponsored projects
Recharge Centers

• Activity coding should correspond to the activities of the **center’s customers**

• Use **Billing Information (Revenue)** to code the space activity
  
  Example:
  
  If 90% of the revenue came from sponsored projects (R01, P30, etc.) & 10% came from 110 funds → 90% Research & 10% Departmental Research

• If no fees were charged for a certain group (e.g. visitors), use the funding source that subsidized the group’s utilization
Other Considerations

- Rooms coded 100% Organized Research – Red Flag
- Too many rooms 95:5 – Red Flag
- Graduate Research Assistants/Students
  - How were they funded in the Labs? Also see Student Space Slide
- **Unpaid** Visiting Professors or **Unpaid** Emeritus Faculty
  - Other Institutional Activity (OIA)
- Departmental Research / Seed Money / Overhead Returns
  - If supporting a *funded sponsored project*, treat it as Cost Share
  - If the research does not have **Funded** sponsored projects → Departmental Research
Questions?

References for Space Activity Coding and F&A:
http://www.northwestern.edu/coststudies/fa.html