The Word for Today is Balance:

Quality of information with time to complete.

Quantity of information – Enough to do a good job but not enough to lose your attention
Today’s Approach

- Dual purpose: Space Inventory will also be used for Space Assignment
- Overview of the Space Survey Process
- Survey Form Specifics
  - Institutional Analysis data elements
  - Federal A-21 data elements
- We will incorporate your questions in an updated Training Material package on our web site

Space inventory and space assignment
Common error – Room Assignment vs. Room Utilization

- This study is about who \textit{uses} the room and how they use it.
- It is \textbf{not} about who has been \textbf{assigned} the room.
- Shared space – Coordinate room survey lists with the other department

Different departments in the same building – you need to talk to one another.
Single Survey Approach

- Joint effort of Institutional Analysis (IA), Facilities Management, Telcom, the University Space Committee, Accounting Service, OSRR and You!

Expanded scope – It looks bigger, because it is bigger!

#NEW# University Space Committee is included.

Registrar’s survey should not bother you. It will primarily be of the classrooms. They will not be asking your for assistance, they will be conducting this attribute survey by themselves.

Goal: gather all the data in one central location

Doing it right the 1st time – we scrubbed what we could before we gave it to you. You will have to further scrub the data.
Very proud in 2002 and 2005 when we went on the space walk-through with the federal auditor

Ford Forestry needs to be surveyed

Be more cognitive and less mechanical:
- we have spent a lot of time on the mechanics of this new Banner space inventory table already.
- from this point forward, this should make the mechanical easier for all of us
- goal is to be more cognitive for the future.
Lesson from last time – presentation and expectation was overwhelming to the audience. However, you did a great job…federal auditor did not have any substantial reason or conclusion that what you did was materially wrong and he could reduce the overhead rate.

Changes since the last survey (organization reporting, building changes, etc) - An understatement!

Your response to the preliminary list has allowed us to refine the room list to be as clean as possible.

Pat is working on the cad drawing updates. We should be able to match the blue prints to the data base.
Putting things in bite sized chunks

- Verifying the occupants
- Assigning the indexes
- Assigning the NSF/NIH room condition
- Verifying that the floor plans and room numbers are correct
- E-Mail space@mtu.edu with discrepancies

Last time we hosed you with too much information.
This caused grief in 2002 and re-surfaced in 2005.

Common Error – Using the old paper copy floor plan drawings

- Use the web based drawings to ensure that you have the most up-to-date floor plan drawings.
  - Telcom drawings
  - Facilities Mgt drawings

- Paper floor plan drawings are old and should be disregarded.
Identified the common problem areas on specific slides.

This is different than the 2005 survey – We can be more cognitive and less mechanical.

Hopefully we have completed the mechanical part already.
What is a Space Inventory Survey?

- The process of assigning institutional space into OMB Circular A-21 functional categories based on use
- The results are used to calculate the percentage of space that is used to support both direct and indirect functions and support the subsequent allocation of space related costs to those activities
  - The matching of “base” costs with “space”

Cover letter said:
- We need to do this because we have to….

It Is Used for More than the A-21:
- In this process, we are completing a University room assignment list
- We also want to do it…for Richard’s IA studies
- Aux overhead tax

In addition:
- We intend to use this for Telcom surveys
- We intend to use this for the NSF/NIH survey
- Reality check 1: this was the basis for a cost accounting study on Contribution margin by department.
- Reality check 2: this was the basis for a cost accounting study on the overhead tax to be applied to Auxiliary units.

Conclusion – last time we winked at the Aux units who did not get it completed. Not this time.
Why is a Space Survey Necessary?

- The survey supports the development of the institution’s F&A rate proposal as well as assisting university facility, administrative and academic personnel in planning future space use.
- The space survey has become the primary focus for government review since administrative components were capped at 26%.
  - DCA review guide for long forms

Matching of base to space.
It Is Used for More than the A-21
For the A-21 survey, the Equipment Depreciation will be mapped to the room where the equipment resides. If the room is 100% research, then the equipment depreciation expense will be assigned as 100% research. Since the sponsors (esp. the federal government) are paying for depreciation in our overhead study, they want to make sure that they are only paying for what they have to pay for!!

This points to the ongoing importance of the University Equipment Transfer form and updating our equipment records on a timely basis.

Presumption is that the disposals have already been done on a timely basis.
Since our goal is to match FY08 base expenses to space…and our base is June 30, 2008 financial statements…we need to have the anticipated building and room changes and functional percentages as of June 30, 2008.
The Space Survey Process
Government Concerns
Financial should tie to the space
HR (payroll allocation) should tie to the Financial and the Space

Reality: We are a 2 legged stool trying to become a 3 legged stool!
Government Concerns - Space Survey

- Did the University **adequately train staff** prior to conducting the space survey?
We’ve tagged the Instructions and the Definitions with the floor plan drawings to the Space Inventory web page. (If need be we could change if there is some error or missing item of information that needs to be relayed to you).

We are not bothering with the S&W this time.

Evaluation Form
CONSISTENCY – Is everyone saying the same thing?

Best example (2002 + 2005): Pro-Rates
Some chose to do this to 6th decimal point, but most chose not to do it at all.
The **tie in of use, primary users, and source of funding** – Is it there?

The research and/or department space coordinator is/are usually the person(s) knowledgeable about individual department source of funding, including grant and contract activity.

Space use must be determined (certified) by the users of the space or someone having first hand knowledge of how space is used.
Who is Involved With the Space Survey? Roles and Responsibilities

- Departmental Space Coordinators should:
  - Act as the primary department contact
  - Have access to rooms
  - Be the primary source of information for room use and room occupants
  - Be the key link to PIs
  - Assign research related accounts to rooms
  - Coordinate the inevitable department space walk

Initially included in the MAXIMUS slide show:

Coordinate the department space walk during the feds’ audit
Let’s begin the next section of our Training Presentation – *Preparing the actual space inventory survey form.*
We tried to preload whatever we could to make this easier for you. We also did an initial scrub so that we would be sending you “cleaner” data.
CIP Code – Administrative and aux departments do not have to worry about this.
– Library is an exception. They do have some classroom space.

We are not looking for space for every course.

So what do we want to say about the INSTRUCTIONAL STUDIOS?
CIP Code – Administrative and aux departments do not have to worry about this.  
– Library is an exception. They do have some classroom space.

We are not looking for space for every course.

So what do we want to say about the INSTRUCTIONAL STUDIOS?
Room Use Code – There is a lookup table built into each spreadsheet. Once you input the appropriate room type, the spreadsheet will load the respective description.

730/735 (Central Storage) is an appropriate USE code for the University, i.e. Building #44. It is not intended for a department's supply cabinet.
Room Use Code Common Errors

- Central Stores vs. department’s store room

Rich to spell out the differences and the appropriate code number
hi,
department chairs are academic admin.

Mike

At 08:28 AM 4/7/2005 -0400, you wrote:

X-Sender: dcaspar@email.mtu.edu
X-Mailer: QUALCOMM Windows Eudora Version 5.2.1
Date: Wed, 06 Apr 2005 16:51:53 -0400
To: spaceinv@mtu.edu
From: David Caspary <dcaspar@mtu.edu>
Subject: function codes again

Should our department chair's office be listed as a faculty office or academic administration?

Dave
Workstations example – This was the most confusing item on the 1999 IA space survey. Usually not a problem for a standard office, but it becomes confusing in the labs.

1/28/05

I also reviewed the training ppp (esp. the IA section). This looks good too. I need to think about how to handle the studio rooms. Who is assigned that space? Anyway, I think that maybe this item needs to be removed from the presentation (#30) since it only affects a small number of coordinators.

Thanks,
Rich
Institutional Analysis data collection

- **Workstations** – the number of stations available for Faculty, Staff, and Students (continued).
  - For example, if a classroom lab has 10 stations that can accommodate 3 students at each station, then there are 30 workstations. Hint: Use the maximum capacity
  - Other examples:
    - Offices – What is the normal occupancy of the office?
    - Conference room – count the seats
    - Machine shop – count the machines
  - See the web page Instructions for a detailed explanation
Institutional Analysis data collection

- **Pro Rate Number** –
  - This is appropriate when there are:
    - two or more Room Use Codes, or
    - if there are two or more departments assigned to the same space
  - If there are two or more departments assigned to the same space, then coordinate with the other department, so that the sum is not greater than the total Assignable Square Footage
  - See the **INSTRUCTIONS** on the ASPIRE web page for a full explanation of how this is done.
Institutional Analysis data collection

- **Pro Rate Number (continued)** –
  - Normal is “blank”. Could be 1 – 9 splits.
  - If you have #2, then someone else has #1. You need to coordinate with the other department.
  - If you virtually split a room, then you need to also split the Assignable Square Feet.
  - If you split a room, then the INDEXES need to follow the split room use functions.

Comment:
IA worldview – split the ASF by physical barriers
A21 worldview – split by the hours used
Telcom data collection

- Yes or No responses to the following questions:
  - Does this room have wireless coverage?
  - Does this room have a mounted, overhead projection system and screen?
  - Does the room have computer workstations for undergraduate student use?
  - Does the room have computer workstations for graduate student use?

Does this room have wireless coverage?

Telcom is looking to identify all rooms that can use MTU’s Rovernet network service from a wireless laptop connection. Telcom will also be verifying this data, so if you don't know or don't have a means to check, then leave this question unanswered. But if you have a wireless laptop to check, or if you know for a fact that your department members use the wireless network from particular places, this information would greatly speed up the work that Telcom needs to do, and your data will be greatly appreciated! This question is asked on numerous external surveys (including a facilities survey sponsored by NIH/NSF) on the university’s technology infrastructure.

Does this room have a mounted, overhead projection system and screen?

Some departments have projection systems that they cart from room-to-room. We are not concerned about these systems at this time. Only count rooms that have an installed (usually on the ceiling) projector and screen. This question gets asked on numerous external surveys on technology usage in higher education.

Does this room have computer workstations for undergraduate student use?

We are looking for rooms that have any number of computers that can be used by undergraduate students. In addition to your standard departmental undergraduate computing labs, please include rooms that are only used by particular undergraduate classes or labs, or used by undergraduate groups. We do not need a count of workstations- this can be ascertained from other data maintained by Telcom once we verify which rooms to look at. Do not count rooms that have an instructor or staff work station that are not used by students directly.

Does this room have computer workstations for graduate student use?

We are looking for rooms that have any number of computers that can be used by graduate students for any purpose. In addition to your standard departmental graduate computing labs, please include rooms that are only used by particular graduate classes or labs, or used by graduate groups. We do not need a count of workstations- this can be ascertained from other data.
A-21 F&A Study Section

Michael Hendricks, Controller
**GA** - The expenses under this heading are those that have been incurred for the general executive and administrative offices of educational institutions and other expense of a general character which do not relate solely to any major function of the institution.

**OIA** - Other institutional activities include operation of residence halls, dining halls, hospitals and clinics, student unions, intercollegiate athletics, bookstores, faculty housing, student apartments, guest houses, chapels, theaters, public museums, and other similar auxiliary enterprises.

**O&M** - The expenses under this heading are those that have been incurred for the administration, supervision, operation, maintenance, preservation, and protection of the institution's physical plant. They include expenses normally incurred for such items as janitorial and utility services; repairs and ordinary or normal alterations of buildings, furniture and equipment; care of grounds; maintenance and operation of buildings and other plant facilities; security; earthquake and disaster preparedness; environmental safety; hazardous waste disposal; property, liability and all other insurance relating to property; space and capital leasing; facility planning and management; and, central receiving.
OMB A-21 data collection
Example of Functional Space

- Research lab-
  - One staff person, 40 hours per week, paid from OR funds
    - 100% organized research
  - Three staff people, 120 hours per week, paid from OR funds
    - 100% organized research
Julie,
Based on this slide…then we should develop a S&W listing by department.

**Virtual splitting:**
- 2 room uses
- 2 assigned departments
OMB A-21 data collection
Example of Multiple Functional Space

- Research lab-
  - Two staff people, one @ 40 hours per week, paid from OR funds, one @ 20 hours per week, paid from Instruction funds
    - 67% Organized Research
    - 33% Instruction

Reality is that the **space of the above room will not follow the same 2/3 vs. 1/3 split.**

Actually may be 50/50 or 80/20.
Note – no one at Mike’s session of the CRIS 2001 Users Conference had tried the FTE option.

If this is so, then we have to create an S&W report.
OMB A-21 data collection

Shared space

- Only one department can be the controlling organization for a room.
- Other departments can be indicated through pro-ration and coordinating the room use codes.
OMB A-21 data collection:
Occupant Payroll distribution compared to Assigned Banner Indexes

- 2008 survey – space allocation should follow S&W and visa versa
- Occupant payroll distribution history

A % split-by-faculty-member of their Instruction and Departmental research. This is a good starting point for your allocation.
OMB A-21 data collection
Functional % and Effort Reporting

- Appointment % should agree to Functional % reporting
- Look at the room occupant’s HR document

Blah, blah,blah
OMB A-21 data collection
Functional Definitions

- Extremely important issue – *should be a consistent understanding of the definitions* among the research departments and be consistent with A-21.

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Consistency
Mike to post to SECA or DMG list re: the Distance Learning

**Sponsored Instruction** - Sponsored instruction and training means specific instructional or training activity established by grant, contract, or cooperative agreement.
Definitions (continued)
Departmental Research

- Includes research activities financed by general operating funds, which are not separately budgeted and accounted for, and typically do not have the characteristics of organized research or sponsored awards.
  - It includes funds provided by departments to initiate research which may later be funded (seed money).
  - MTU Incentive monies would also be considered Departmental Research.

These funds are discretionary in nature and no financial reporting process is required.
Definitions (continued)
Organized Research

- Research activities, sponsored by both Federal and non-Federal agencies or organizations that contribute to an identified research project, regardless of the indirect cost rate associated with the funding.
  - Defined work statement,
  - A line item budget identifying expenditures by activity, function and project period,
  - Specific commitment regarding deliverables and level of personnel effort devoted to the project,
  - A formal report that summarizes results or conclusions.

Also: Competitive proposal and awards process

See the DEFINITIONS handout for a more complete explanation.

Ask where the research funding is coming from?
Both activities have E* indexes with RESEARCH programs.

See also the FAQ section for a further discussion.
Definitions (continued)

Other

- Other Sponsored Activities (OSA)
  - Programs and projects financed by Federal or other sponsors which involve the performance of work other than organized research or instruction.
    - Example – Community service programs

- Vacant space
  - 12 Month Rule for future use
  - If the space is currently not occupied, but you know a research project is going to be in the space in the future, then put the project down in that space.
  - Remember the Timeframe of activity that we are looking at.

Sponsored Instruction (SI)

Teaching and (non-research) training programs financed by Federal or other sponsors

Per the MAXIMUS meeting – you are allowed to apply the 12 month rule to the use of the space.

OSA- Examples of such programs and projects are health service projects, and community service programs. However, when any of these activities are undertaken by the institution without outside support, they may be classified as other institutional activities.
Common Error: DA vs. GA

- There is a lot of confusion on these 2 functions
- DA is only for the Deans and Department Heads in academic departments
- GA is for central administration

University Perspective vs. your department’s perspective:

**DA** for Deans offices and Academic Computing
- for those areas, it does include office supply rooms, etc.
- never use in non-academic units

**DA**-administrative and supporting services that benefit common or joint departmental activities or objectives in academic deans' offices, academic departments and divisions, and organized research units.

**GA** for your office supply room
- non academic departments reminder…this is the A21 definition of GA and DA.
What may seem like departmental admin to you, will not be DA to the DCAA cost accountants and their strict definitions.
Common Error – Library classification

- Van Pelt Library is the only department that should use this field
- Departmental libraries should be DA (for Academic departments) or GA (for Administrative departments).
Functional use: A formula is already loaded to capture the total.
You need to coordinate with the other departments.
ACCOUNT NUMBERS – this is the basis for the matching of “base” and “space.”
Occupant becomes an important (if not the most important) tool for justifying the functional use of the room. How do we intend to handle on our Banner FZBROOM table?

Mike needs to get a better understanding of the S&W mapping to space.

To: "Michael F. Hendricks" <mfhendri@mtu.edu>
Subject: RE: space survey question...since Nilo is gone from MAXIMUS
Date: Wed, 5 Jan 2005 10:35:33 -0800

Hi Mike:
I would recommend you at least capture the MAIN occupant/principal investigator for a space survey. This will help to support your room usage data.

Regards,
Nilo E. Mia
Director, Costing Policy & Analysis
UC Davis

From: Michael F. Hendricks [mailto:mfhendri@mtu.edu]
Sent: Tuesday, January 04, 2005 12:59 PM
To: Nilo Mia
Subject: Fwd: space survey question...since Nilo is gone from MAXIMUS

Hi,
I attended one of your MAXIMUS space survey presentations at a CRIS conference. Anne told me that you left MAXIMUS and currently work at a university, but you would probably be willing to answer a question.

You can see my OCCUPANT question from the text below. I don't know how important this field is and exactly what information we should ask from the space coordinators about the ROOM OCCUPANT.
OMB A-21 data collection

- Occupant – Should follow the Organized Research Account numbers assigned to the space
  - Tip: Who occupies the room?
  - Should agree with the account number
  - If the room is a classroom lab, then just put “students”
  - If you have a Primary user who is on sabbatical or leave….

Think of the year as a whole, as well as taking into account the upcoming year:
Example 1: If gone for the first semester, but back for the second…
Example 2: If gone for the whole year, but will be back for the next fiscal year…

???Should include the person’s M-number???
OMB A-21 data collection

- Using the **Comments** field
  - This field can be used and abused for your special departmental situations.

**Functional use:** A formula is already loaded to capture the total. You need to coordinate with the other departments.

**ACCOUNT NUMBERS** – this is the basis for the matching of “base” and “space”

**Primary User** – What do we want to put here?

**Comments:** If it is *no longer* my space…
If it is *now* my space….
Under construction…example from the FY99 study
New in 2008 – Separate Dept “assigned” vs. Dept “use” columns

- Use these columns to note the rooms that are “loaned” by one department to another.
- No longer a need to note the “assignment” in the COMMENTS field.
Due date for academic departments is the end of the academic year.

For academic departments…both space and equipment HAVE TO be in by April 30.
When You Have Completed the Space Survey

- Press the “Complete button” for each room that has no FATAL errors
- Remember the Due Date – April 30, 2008
  - Sorry, no room for flexibility

Information is date stamped and signature stamped on the space database.

Goal is to upload the VALIDATED information into CRIS software.
If You Didn’t Learn Anything Else…

- “JUST SAY NO” to paper floor plan drawings
- Storage vs. Central Stores
- Departmental Research (DR) vs. Organized Research (OR)
- OR vs. Other Sponsored Activity (OSA)
- DA vs. GA

Importance of today’s training session –
DR – Departmental research
OR – Organized research
OSA – Other Sponsored Activity
DA – Academic departments
GA – non academic departments
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- http://www.physics.lsa.umich.edu/demolab/graphics2/1m20_u1a.gif
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- http://cagle.slate.msn.com/news/Taxes/Taxes%202004/brookinsQjQg
- http://www3.ashland.edu/academics/arts_sci/chem/facilities/stockroom.jpg
Commonly Used A-21 Acronyms

- F&A  Facilities and Administrative a/k/a Indirect Costs
- A-21  OMB Circular A21
- OMB  Office of Management and Budget
- DCA  Division of Cost Allocation
- ONR  Office of Naval Research
- S&W  Salaries and Wages
- FTE  Full Time Equivalent
- PI   Principal Investigator
- GA/TA  Graduate Assistant & Teaching Assistants
- GRA  Graduate Research Assistant

Focus on the first 2 items: F&A and A-21

The rest of the items will be talked about in more detail later in this session

Other terms:
MTDC  Modified Total Direct Cost
Commonly Used A-21 Acronyms
(More)

- INST  Instruction
- DR    Departmental Research
- OR    Organized Research
- OSA   Other Sponsored Activities
- DA    Departmental Administration
- OIA   Other Institutional Activities
- O&M   Operations and Maintenance
Commonly Used A-21 Acronyms
(More)

- SPA  Sponsored Projects Administration
- DCE  Direct Charge Equivalent
- SAS  Student Administration and Services
- GA   General Administration and General Expenses
- REF  Research Excellence Funds
- ASF  Assignable Square Feet