FY2023 Space Validation:
Data Administrator Training

August 2023

Northwestern

Voice over and slide progression is being recorded and will be posted for training purposes

About Us

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Meeting Objectives

- Introduce the Space Validation Process, Expectations, and Key Dates

- Provide overview of the relationship between the Facilities & Administrative Rate Negotiations and the Space Validation Process

- Introduce & identify key aspects of completing the survey

Space Information Overview & Uses

Facilities Connect is Northwestern's Space Information System-of-Record. Space information is validated annually through the Space Validation Process and used to informed Northwestern's business operations.

Facilities & Administrative Rates Negotiation

Campus Planning Space Utilization

Research Safety

Required Reporting

Capital & Operating Budget Investments

Communications

Emergency Response

Operations & Maintenance

Facilities & Administrative (F&A) Rate Overview
Introduction

- Northwestern had $828M in annual sponsored research in FY2022

- Universities incur costs when performing sponsored research; these costs are referred to as Facilities and Administrative (F&A) costs, commonly called indirect costs

- The federal government will reimburse universities for its equitable share of F&A expenses associated with conducting research

- Northwestern negotiates its **Facilities & Administrative Rate** with the federal government, specifically the Department of Health and Human Services ("DHHS"), every few years

- While FY2023 is not a DHHS audit year, the Space Validation cycle will be treated as if it were every year going forward

For additional information related to the costs of research, please reference [Association of American Universities – Cost of Research](#)

Facilities & Administrative (F&A) Rate Overview
Direct and Indirect Costs

Direct Costs	**Total Cost**	**Indirect Costs**

These are generally what people think about when it comes to federal support for research projects—they solely support the actual research that is about to take place

The F&A Rate covers a portion of infrastructure & operational costs related to federally-funded research that cannot be attributed to a single project (and that the university would not have incurred if it were not conducting research on behalf of the sponsor)

Laboratory supplies

Certain research equipment

Salary support for researchers and lab personnel

Travel for conducting research or disseminating research results

1 Facilities
- Building depreciation
- Equipment depreciation
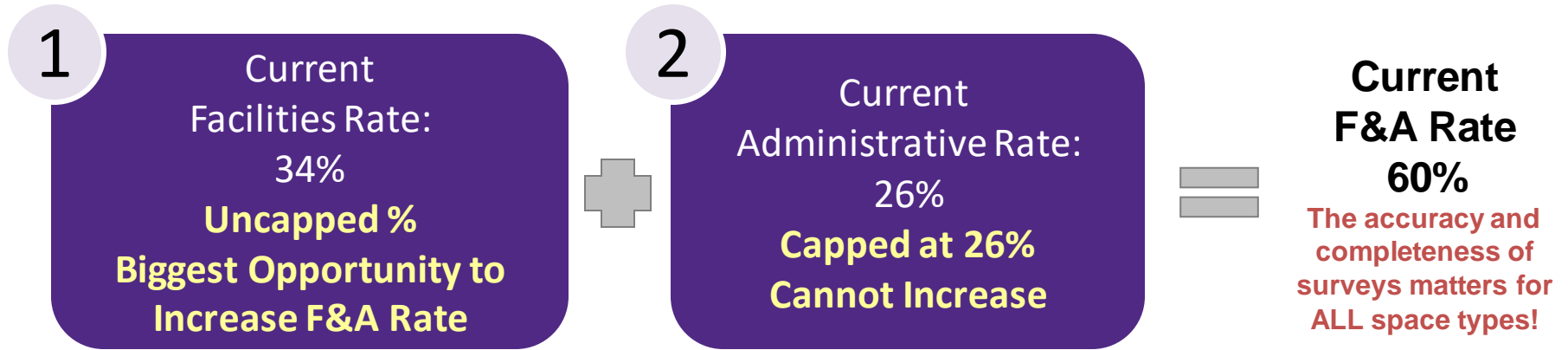- Interest
- Operations and maintenance
- Library

2 Administrative
- General administration
- Departmental administration
- Sponsored projects administration
- Student administration and services

Facilities & Administrative (F&A) Rate Overview
Calculation Overview

1

Current
Facilities Rate:
34%
Uncapped %
Biggest Opportunity to
Increase F&A Rate

+

2

Current
Administrative Rate:
26%
Capped at 26%
Cannot Increase

=

Current
F&A Rate
60%
The accuracy and
completeness of
surveys matters for
ALL space types!

Several factors go into the
Facilities Rate Negotiation; most
scrutinized data set. Space is a
heavily weighted component!

Facilities & Administrative (F&A) Rate Overview
Applying the Calculation (Example)

If direct cost charged is $1,000, Northwestern will receive $600 indirect cost reimbursement; therefore, total amount charged for direct and indirect costs is $1,600

Facilities & Administrative (F&A) Rate Negotiations
Relationship between the Space Validation and the F&A Rate Negotiations

Space Validation is conducted annually and requires schools/units to update and validate room-level information related to functionality and occupancy
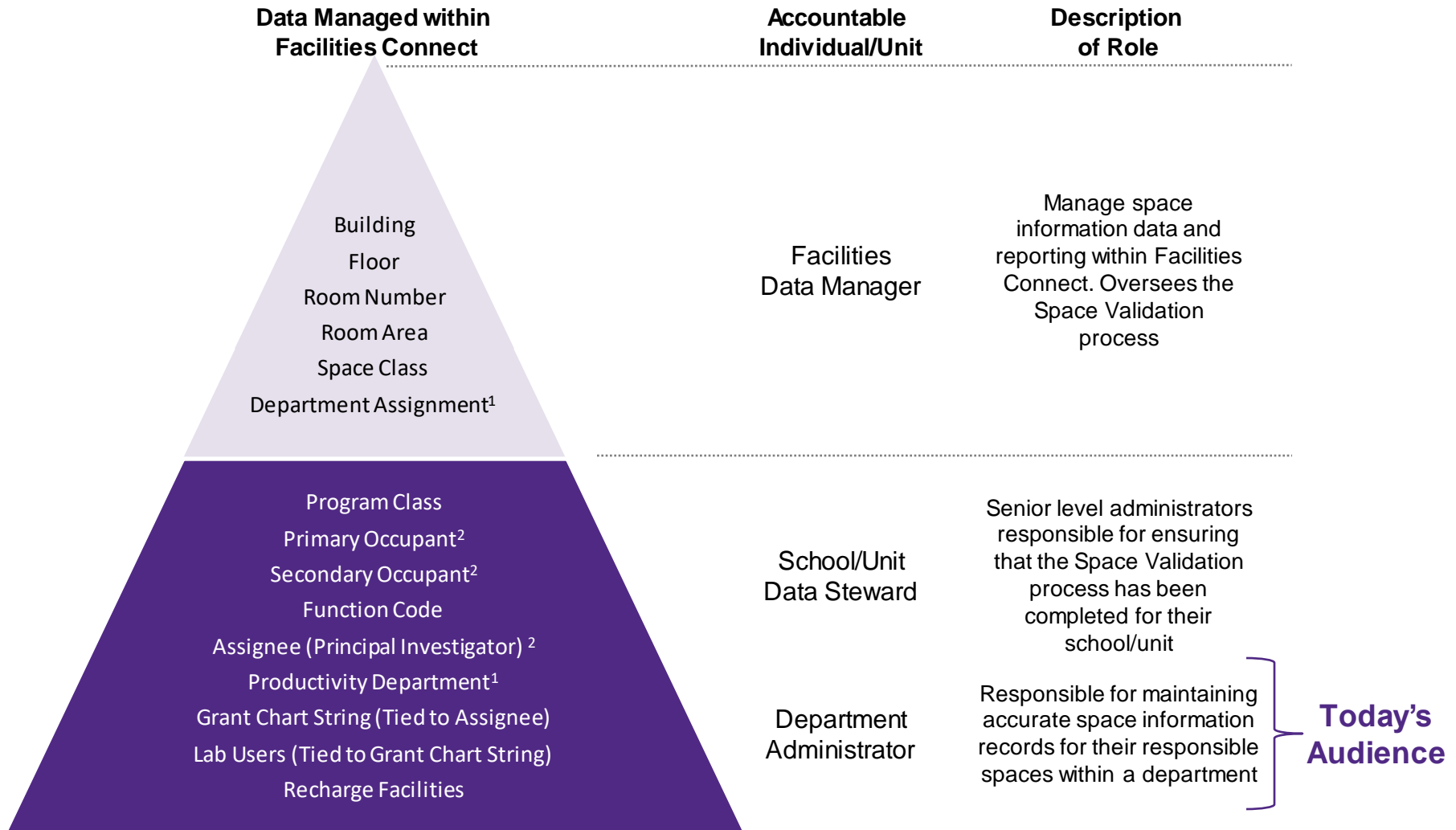
Information collected during the Space Validation Process is used to inform the F&A rate calculation process; with a primary focus on sponsored research activities

Once complete, the F&A proposal is submitted to the auditing agency and negotiations begin. Reported data must be **defensible by Northwestern and data administrators** and is subject to a detailed audit (including physical tours of the space) by Facilities, ASRSP, and/or the Department of Health and Human Services auditor

Space Validation Expectations
Overview of Roles & Responsibilities

Data Managed within Facilities Connect	Accountable Individual/Unit	Description of Role
Building / **Floor** / **Room Number** / **Room Area** / **Space Class** / **Department Assignment**[1]	Facilities Data Manager	Manage space information data and reporting within Facilities Connect. Oversees the Space Validation process
Program Class / **Primary Occupant**[2] / **Secondary Occupant**[2] / **Function Code** / **Assignee (Principal Investigator)**[2] / **Productivity Department**[1]	School/Unit Data Steward	Senior level administrators responsible for ensuring that the Space Validation process has been completed for their school/unit
Grant Chart String (Tied to Assignee) / **Lab Users (Tied to Grant Chart String)** / **Recharge Facilities**	Department Administrator	Responsible for maintaining accurate space information records for their responsible spaces within a department

Today's Audience

1. Department information is reflective of data maintained in NUFinancials
2. Assignee information is reflective of data maintained in HRIS

Space Validation Expectations
Data Administrator

- The information collected reflects the use of space between September 1, 2022 and August 31, 2023 (FY23)

- Training & Resources Available
  - [Facilities Connect Training Website](#)
    - Click Space Validation
    - Training Video
    - Job Aides – Room Use Codes, Function Codes, etc.
  - [Space Information Reports](#)
  - Scheduled Workshops (In Person)
  - Individual Trainings (In Person or Online via Booking System)

Space Validation Expectations
Schedule

Date	Key Milestone Dates
2023 July 31	Space Validation OPENs to all users in Facilities Connect
Weeks of August 7 & 21	School/Unit Space Validation Introduction & Training
August/September	Scheduled open labs and online help sessions/workshops
October 6, 2023	Survey Due
October - November	Survey Clean-Up
December	ASRSP, Facilities, Department Meetings to refine data, tour select spaces, and review findings
2024 January	
February	ASRSP Prepares Internal Baseline Proposal
March	F&A FY2023 Internal Baseline Proposal
May	FY2024 Survey Opens *(Back on Schedule!)*

Space Validation Expectations
Areas of Focus Since the FY2022 Survey

Area of Focus	Description	What to Expect
Assignee Distribution	Laboratories and lab support rooms should be assigned to the PI(s) responsible for that space. Facilities continues to observe mis-use of 'overhead' assignees such as Director/Director, Chair/Chair, etc..	• Use of 'overhead' assignees in laboratory space • Sometimes this is 100% accurate however units will need to justify use of these codes
Grant Chart-strings	Department administrators are expected to speak with the researchers to ensure that only those chart-strings with activity occurring within the room are deemed active in the space.	• Having all chart-strings active or in-active within a laboratory environment will be flagged as this is very unusual
Survey Accuracy	Consistency and completeness of space information is critical as errors observed can negatively impact the negotiated rate. For this reason, internal audits will occur.	• Facilities may flag to your data steward those units that appear to be moving to quickly through their space survey (observed through time stamps) • Facilities and ASRSP will select key units to survey through detailed audits
Dry Lab Research Office & Dry Lab Research Workstation	For PI's and lab staff doing Computational Research; use space class Dry Lab Research Office (240) and Dry Lab Research Workstation (241).	• List the responsible PI(s) as the Assignee in these instances and identify the Occupant as the person(s) using that space
Occupancy	The occupancy field is critical to campus-wide notifications, space and occupancy planning, and reporting. In many cases, this has not been completed.	• Offices/workspaces that have no occupant will be questioned

FY2023 Space Validation Training

Function Code Instructions

System Demonstration & Instructions (Live System Demonstration)

Function Code Instructions
Sponsored Research & Relationship to Space Class Codes

- Sponsored Research Room Types (Space Class) May Include:

  - ➢ 210-299 (Laboratory Facilities)

  - ➢ 570, 575 (Animal Quarters)

  - ➢ 840, 845 (Surgery Service)

- Room Type 210 and 215 (Class Lab) should be coded as 100% Instruction

Complete List of Space Classes & Definitions

Function Codes
Overview & Definitions

Function codes are used to reflect activities occurring within the room. Function codes are informed by assignee, activities, research activities, financials, etc.

- **Research Function Codes:**
  - SPONSORED RESEARCH (0010)
  - DEPARTMENTAL RESEARCH (0007)
  - INDUSTRY CLINICAL TRIAL (0012)

- **Administrative Function Codes:**
  - GENERAL ADMINISTRATION (0040)
  - DEPARTMENTAL ADMINISTRATION (0007)
  - ACADEMIC DEANS' OFFICES (0060)
  - SPONSORED PROJECTS ADMINISTRATION (0050)
  - STUDENT SERVICES ADMINISTRATION (0065)

- **Unoccupied Function Codes:**
  - VACANT SPACE (9975)
  - UNUSABLE SPACE / UNDER CONSTRUCTION (9980)
  - NON-ASSIGNABLE (9999)

- **Other Function Codes:**
  - INSTRUCTION (0005)
  - SPONSORED TRAINING (0085)
  - OTHER SPONSORED ACTIVITIES (0014)
  - OPERATIONS AND MAINTENANCE (0075)
  - OTHER INSTITUTIONAL ACTIVITIES (0016)
  - LIBRARY (0035)

Complete List of Function Codes & Definitions

Function Code Instructions
Steps for Coding Function Code – Allocating Percent Usage

- The % function coding should reflect the **total** activity for the surveyed fiscal year; key considerations:

  - ➢ Occupancy, Who is occupying the space?

  - ➢ Activity, What actually happens in the space?

  - ➢ Funding – How is the occupant's salary paid?

- If multiple activities occur in a room**, estimate** the salary distribution for assigned users

- Percent should be estimated to the nearest 5% interval

- The sum of all total percentages must equal 100%

Uniform Guidance States:

- It is recognized that teaching, research, public service, and administration are often inextricably intermingled

- A precise assessment is not always feasible, nor is it expected

- Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate

Function Code Instructions
Steps for Coding Function Code – Allocating Percent Usage

1. Review and Confirm Room Type

2. Find and document WHO used the lab (lab users – subset – lab occupants)

3. Obtain Funding Information for the users

- Unpaid users (visitors) = Other Institutional Activity (0016)
- Identify funding source:
  - Instruction (various)
  - Other Sponsored Activities (Fund 600's excludes 640)
  - Clinical Trials (Fund 640)
  - Service Centers (Fund 160)

4. Find activities occurred while users were in the lab

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)
- % Functional Coding based on User, Funding, Time Spent (except recharge centers and CCM)
- Link below includes a excel template – should be used if they do not have a non NU appointment
- Template - How to Code Research Space.xls

6. Maintain funding information as supporting documentation

Function Code Instructions
Steps for Coding Function Code – Funding Source

- If you are unsure of the function code, another place to review is the Class Code in NUFinancials

- A Class Code is assigned to Project ID or Dept ID (Project ID precedes Dept ID) in NUFinancials

Example:

EMPID	EMPNAME	TITLE	CHART STRING	CLASS CODE
1029999	Johnson, Jack	Assoc Professor	171-54xx000-30009614	DEPT RESEARCH - 107
1029999	Johnson, Jack	Assoc Professor	610-54xx000-60001234	SPON RESEARCH - 110

Function Code Instructions
Steps for Coding Function Code – 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

Function Code Instructions
Function Coding Examples

Activity	Functional Code
Working on an R01	Sponsored Research
Working on a NSF award	Sponsored Research
Working on a Training Grant using Account **60076**	Sponsored Training
Paid from Scholarships/Fellowships (Account 78050, etc.)	Instruction or Dept Research
Visiting students or researchers NOT Paid by NU, but working in labs (no NU chartstrings)	Instruction or Other Institutional Activities
Cost Sharing using Fund 192 or a dept fund	Follow the "Cost Share To" Parent Chartstring
Working on developing a new research idea and funded by a start-up or discretionary fund	See Above; If not cost shared: Departmental Research

Function Code Examples

Scenario 1

Professor Grant is 50% funded by 2 NIH R01's and 50% funded by departmental funds. He has a research lab and an office. How do you code his activity?

Response:

Through discussions with Professor Grant and referencing the [Function Code Definitions](#), you determine he is:

Space	Type of Activity	Function Code
Research Lab	100% Sponsored Research	0010, Sponsored Research
Office	100% Salary and wages	0020, Salaries & Wages

Function Code Examples

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?

Response:

Through discussions with Professor Grant and referencing the [Function Code Definitions](#), you determine he is:

Space	Type of Activity	Function Code
Research Lab	100% Departmental Research	0007, Department Research

Function Code Examples

Scenario 3

Two graduate students are funded 100% on sponsored grants and they have shared desks in the lab. While working in the lab, they sometimes check email, prepare for class, exams, etc. How do you code the activities in the lab?

Response:

Through discussions with Professor Grant and referencing the Function Code Definitions, you determine he is:

Space	Type of Activity	Function Code
Research Lab	10% Instruction 90% Sponsored Research (Coded depending on the proportional amount of time spent on non-research activities)	0005, Instruction 0010, Sponsored Research

System Demonstration & Instructions (Live System Demonstration)

Next Steps: Prepare for the Space Survey

- Make sure you can [access Facilities Connect](#) and that you can [navigate to and see](#) your department's space under 'My Responsible Spaces'
    - If you cannot, please alert Space Information and your Data Steward, they will likely direct you to the [Facilities Services Approver Change Form](#)

- Review the floor plans and report any physical changes (i.e. renovations) or department allocation changes Space Information

- Review the [glossary of terms](#) and [Space Validation training material, job aides, and quick guides](#)

- Schedule time to speak with PI's or Lab Managers about activities occurring within their labs, information to collect includes but is not limited to:
    - Occupants
    - Productivity Department
    - Function Code Distribution
    - Grant Chart-strings (by Assignee) research activity occurring in the room
    - Lab Users (By Chart-string)

- Alert your department chair so you can accommodate this within your work plan

Do not wait until last minute as this will and should take time – Start now!

Questions & Resources

Thank you, in advance, for your time completing the FY2023 Space Validation!

Questions?

Facilities, Planning & Space Information	Financial Operations, Accounting Services for Research and Sponsored Programs (ASRSP)

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Reference to Space Validation Training:
https://www.northwestern.edu/fm/connect/training/

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Reference to F&A Rates:
https://www.northwestern.edu/coststudies/fa.html

Uniform Guidance:
Direct and Indirect Costs § 200.412-.415
Appendix III to Part 200

Cost Accounting Standards