The Space Survey

“A Hot Button”

Northeast Conference on College Cost Accounting
Harriman, New York
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What is a Space Survey?

A space survey is the process of assigning institutional space into OMB Circular A-21 functional categories based on use of space:

- Instruction
- Departmental Research
- Organized Research
- Departmental Administration
- Other Sponsored Activities
- Other Institutional Activities
- Vacant
Why is it Necessary?

- Supports the development of the F&A rate proposal (Building, Equipment, Interest, and O&M components)
- Assists university facility, administrative and academic personnel in planning future space use
- Facilities component costs are uncapped. Survey is the primary focus for federal review since administrative components are capped at 26%
Why is it Necessary? ... the Federal Government Perspective

- Most equitable means to allocate space related costs
- Space must be inventoried and functionalized
- Done in accordance with HEGIS coding
- Feds may physically audit the space/results
- Have coordinators been adequately trained?
- Inconsistencies results in significant disallowances
Who Should be Involved With the Survey?

- Office of Sponsored Projects
- Office of Cost Analysis (F&A)
- Academic Department Representatives
- Facilities Representatives
- Other Administrative Offices
Roles and Responsibilities

♦ Office of Sponsored Projects can:
  - Lead or participate in the space survey process
  - Define Organized Research to the survey team (F&A rate developer)
  - Assist with account/project matching to rooms
Roles and Responsibilities

♦ Office of Cost Analysis (F&A Gurus)
  – Provide overall coordination of space survey process
    • Update and process space survey definitions, policies and procedures
    • Conduct space training sessions
    • Prepare the survey documents and coordinate their distribution to academic departments
Roles and Responsibilities

♦ Office of Cost Analysis (cont’d)
  • Assist academic departments in identifying organized research accounts for matching to space
  • Collect, record and summarize space survey documents
  • Review for reasonableness and red flags
  • Perform quality control assessment
Roles and Responsibilities

♦ Academic Department Representatives should
  - Act as the primary department contact
  - Coordinate the department space walk
  - Provide access to rooms
  - Be the key link to PIs
  - Be the primary source for room use and room occupants
  - Serve to validate complete department account list
  - Serve to validate account to room mapping
Roles and Responsibilities

♦ Facilities Representatives should
  – Provide updated building floor plans
  – Provide updated square foot measurements
  – Provide reconciliation of gross square feet to net square feet
  – Provide supplemental room access
  – Provide documentation for planned future building construction
Roles and Responsibilities

♦ Other administrative offices that may be involved
  – Accounting
  – Payroll
  – VP for Finance, Research, Administration, Business Affairs
The Space Survey Process
Planning Ahead

♦ Identify the space survey team
♦ Determine timeframe and sequence of events
♦ Review, update and/or develop space survey policies and procedures, and definitions consistent with A-21
Planning Ahead

♦ Identify data to be captured, how it will be maintained, and who will maintain it
  - Bldg #, Room #, College #, Dept. #, Occupants, Accounts

♦ Determine approach to the survey (100% analysis, all academic departments or selected academic departments)
Planning Ahead

- Obtain & coordinate floor plans and square foot schedules with facility and academic departments
- Obtain “buy-in and support” from senior administration (President and Dean”s)
- Plan campus wide training sessions
The Space Training Session

Types of Space

♦ Single function space – Supports one function: assigned 100% to the function
  – Most non academic administrative offices such as
    • executive management, purchasing, payroll, budgeting, accounting, human resource (G&A);
    • plant and facility operations (O&M);
    • residence halls, cafeteria, museums and galleries (OIA);
    • libraries, except for other functional space located within the library (LIB), student union and student health services area (SSA)
The Space Training Session

Types of Space

♦ Multiple function space – space used in support of more than one function
  – “Shall be allocated to the individual functions performed in each building on the basis of useable square feet of space…”

Or

  – “Shall be allocated to benefiting functions” on FTE or salaries and wages (jointly used space)
The Space Training Session

Types of Space

♦ Multiple use space allocated as joint used space
  
  – Generally consists of space assigned to academic units (conference/meeting rooms, possibly faculty offices)
  
  – Could be space associated with administrative units involved in more than one activity
  
  – Note: Kitchens, lounge areas are usually considered to be DA
The research and/or department administrator is/are usually the person(s) knowledgeable about individual department grant and contract activity

- Knows who occupies the room
- Knows how the room is used
- Knows room types (HEGIS)
- Has ability to code and prorate rooms
- Has access to or can facilitate identifying fund sources for room activity
The Space Training Session

Who should be involved?

- Space use must be determined (certified) by the users of the space or someone having first hand knowledge of how space was used.
The Space Training Session

Who should be involved?

♦ It is very important to know who actually occupies a room and the funding sources for those people prior to assigning space

♦ Occupant types can change the room functional use assignment depending on how they are funded
The Space Training Session

Who should be involved?

♦ Faculty
♦ Faculty emeritus
♦ Professional researchers
♦ Research assistants and associates
♦ Post docs
♦ Graduate students
♦ Undergraduate students
♦ Visiting professors
♦ Other
Sample State University

- Net Assignable Square Feet = 2,353,518

- Targeted Survey NASF = 261,319
  - Typically 11% of NASF
  - Departments with Organized Research S&W for FY01 in excess of $50,000
  - Remaining square footage prorated based on salaries & wages of the department

- Timeframe: July 1, 2000 – June 30, 2001
# Sample State University

**Targeted Space Survey for F&A Proposal**  
Year Ending June 30, 2001

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<td>261,319</td>
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Total University NASF 2,353,518

**Per cent Surveyed** 11%

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*a) NASF = Net Assignable Square Feet*
Sample State University
Functional Definitions

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

Biology Department

“This says organized research”

Physics Department

This says “organized research”
Sample State University
Functional Definitions

♦ Research lab:

- Two staff people, one @ 50 hours per week, paid from OR funds, one @ 25 hours per week, paid from IDR funds
  - 67% organized research
  - 33% instruction
Sample State University
Functional Definitions

♦ Research lab:
  – One staff person, 30 hours per week, paid from OR funds
    • 100% organized research

  – Three staff people, 150 hours per week, paid from OR funds
    • 100% organized research
Sample State University
Quality Assurance

- Prorate, update, sign and date by surveyor attesting that the result is reasonably accurate
- Department forward completed Forms to Office of Cost Analysis
- Central review for completeness, reasonableness and accuracy, and update database
- MAXIMUS (or other independent party) prepare analysis and verify with departments where appropriate

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Government Concerns
Government Concerns

♦ Did the University adequately train staff?
♦ First hand knowledge?
♦ Campus wide consistency?
♦ Space base match?
♦ Graduate students and all other room occupants?
♦ Specialized service facilities? (DS-2)
♦ Reconciliation gross to net?
Government Concerns

- Rooms coded 100% Org. Research
- Too many rooms set at 95:5 (pro-rate equitably)
- Visiting Professors
- Seed Money/Start-up Funds
- Departmental Research
- Cost Sharing (mandatory only)
  - *Effort* and *Space* devoted to sponsored activity, however funded by the University
A Technology Solution
A Technology Solution ©WebSpace

♦ Eliminates paper
♦ Easy to produce “delinquency” reports
♦ Space functionality must = 100%
♦ Integration with CRIS !!!
♦ Web-based/Browser technology is accessible to anyone with a computer and internet connection!
A Technology Solution

Delegation to Administrator or room occupant

Utilization of electronic signatures technology as it becomes widely accepted

Electronic audit trails

Management reporting based on electronic storage of archived data

Equipment by Room
A Technology Solution ©WebSpace

- Utilization of automated e-mail if applicable?
- In theory, more control over process and space surveys will be completed in a timelier manner?
- Forces compliance ..... for example, all research rooms supported with active account or grant numbers?
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