

General Instructions

The Space Functional Use Definitions in the **UG Functional Space Use Definitions** document should be reviewed and be clearly understood before the space study is started. Questions about the definitions and other aspects of the space study should be directed to Jacqui Watrous, Executive Director of Financial and Cost Analysis (5-2119).

Please engage your financial administrators to confirm Grants/Projects associated with each PI.

Functional Coding:

- Should be determined on a room-by-room basis or a PI-suite basis.
- Must identify a room's usage in specific percentage terms that reflect all activities performed in the room. A "predominant use" methodology is **not** acceptable. *Arbitrary percentages are also not acceptable and will be challenged by Federal negotiators.*
- **The Departmental Space Survey (DSS)** should reflect how each room was used during the entire fiscal year (July 1 – June 30). The observation is not a snapshot of how the space was used at the end of the year.
- The functional coding of a room should take into account all occupants of the room. The coding should be based on the activities the occupants perform in the room **and** the expense accounts that pay for those activities.
 - *For example*, if technicians or students in a research lab are working on Organized Research projects **and** their compensation for all of their work in the lab is paid by those projects (or is reported as cost sharing on the projects in their effort reports), then the space they use in the lab should be % Organized Research.
 - *On the other hand*, if an individual's salary for work in the lab is wholly or partially paid from general institutional funds (and is not reported as cost sharing on an Organized Research project), the space used for the work paid with institutional funds should be coded as Instruction. Research lab space used by unpaid students should also be % Instruction.
 - Space used for activities reported in effort reports as cost sharing on Organized Research projects should be coded as % Organized Research.

This concept is commonly referred to as "*matching space and base*" and is critical to determining the proper functional use of space.

- Functional coding of a room should take into account the **extent** of use by each occupant. *For example*, a student working in a lab 15 hours a week for four months should be counted much less than a technician who works in the lab 40 hours a week the entire year.

Departmental staff should maintain notes on how they determined the functional percentages of each room and be prepared to defend them in the Federal review of the F&A rate proposal.

Required Documentation:

- The DSS documentation must identify the occupants of all research laboratories and offices coded with % Organized Research or % Other Sponsored Activities. Occupants include all individuals, **paid and unpaid**, who used the lab or office during the fiscal year – faculty, staff, graduate students, undergraduate students, post-doctoral fellows, visiting scientists, etc.
- **NEW in 2020:** For research labs and offices coded with % Organized Research or % Other Sponsored Activities, the documentation must also identify the Sponsored Project ID(s), both (sponsored and non-sponsored) that paid the salaries of the occupants of the room.

Handling of Specific Types of Rooms and Situations (See FAQ's Document for examples)**Research Laboratories:**

- The principal activity performed in research labs is usually % Organized Research. However, as discussed earlier, if some of the occupants in a research lab are paid from general institutional accounts (and are not reported as cost sharing on Organized Research projects), or are unpaid, the space used for that work should be % Instruction.
- The handling of students in research labs **is particularly important**:
 - Space used by students should be % Organized Research if they are:
 - (a) paid by research grants/contracts
 - (b) supported by research training grants/fellowships
 - (c) reported as cost sharing on research grants or contracts
 - Space used by unpaid students and students paid from general institutional funds (and not reported as cost sharing on research grants or contracts) should be % Instruction.
- Space used by visiting scientists **not** paid by the University and faculty/staff whose salaries are paid directly by the *Howard Hughes Medical Institute* should be % Other Institutional Activities.

Federal negotiators pay particular attention to rooms coded 100% Organized Research. A “yes” response to any of the following usually indicates that a room should **not** be coded 100% Organized Research:

- Is the room used by any unpaid students or students paid from general institutional funds?
- Is the room used by visiting scientists not paid by the University or any other occupants not paid from Organized Research funds for their work in the lab?
- Are startup funds, bridge funds, or any other kinds of “seed” money paying for the activities taking place in the room?
- Is there any non-research activities performed in the room (e.g., lab tests performed for a hospital or clinic)?

Research Laboratory Service Rooms:

- Research lab service rooms (e.g., cold rooms, dark rooms, equipment rooms) should be coded the same as the average functional use of the labs they supported during FY 2019. The labs used to calculate the average should be documented.

Offices:

- Offices should be coded based on the functions performed by the person(s) occupying the office (e.g., Instruction, Organized Research, Departmental Administration, etc.). The person(s) occupying the office is often in the best position to estimate the percentage used for each function. Office space used by visiting scientists not paid by the institution should be % Other Institutional Activities.
- Conference rooms and similar multi-purpose rooms in academic departments, such as copy rooms, employee lounges and departmental libraries, should be % Departmental Administration. (Regular use by Research Lab teams suggests % Organized Research if appropriate).

Classrooms, Class Labs and Related Service rooms:

- Classrooms, class labs, and related service rooms should normally be % Instruction. Coding any space in these types of rooms as % Organized Research would need to be clearly documented.

Animal Care Facility:

- The handling of the space in the animal care facility must be in compliance with the HHS policy on this subject issued November 15, 1999. Under this policy, procedure rooms, operating rooms and certain other types of rooms within the animal facility should be % Organized Research to the extent they are used for animals involved in research protocols. Animal rooms should be % Organized Research if they house animals involved in research and if the animals are generally not removed from the animal facility for conducting the research.
- If the animal facility provides services to % Organized Research projects and other functions (e.g., % Instruction), the space of the animal rooms, procedure rooms, etc. should be allocated to the benefiting user functions based on billings (similar to the allocation of recharge/service center space described below).
- Space used for the service functions of the animal facility, such as cage washing, feed storage and administrative offices, should be % Other Institutional Activities.

Recharge Centers/Service Centers:

- Space used by recharge/service centers (other than the Animal Care Facility and Specialized Service Facilities) should be allocated to user functions based on billings (unless the space costs are included in the billing rates.) For example, if 60% of a recharge center's billings are charged to Organized Research and 40% to Instruction, then it's space should be coded 60% Organized Research and 40% Instruction.

Specialized Service Facilities (*not on the UMass-Amherst Campus*):

- Space used by Specialized Service Facilities should be % Other Institutional Activities. Unlike recharge/service centers, Specialized Service Facilities space cannot be redistributed to user functions based on billings.

Vacant Space:

- Space should be considered vacant only if it is vacant or under renovation for the full 12 months of FY 2019. If it was occupied for part of FY 2020, it should be coded to functions according to how it was used when occupied. % DA would represent the vacant period of time.