





## Space Activity Coding & F&A Rates

Contact for Space Activity Coding  
& F&A Proposal:

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### Why is Space Survey Important for F&A Proposal


- Facilities & Administrative (F&A) Rates are used by Federal Agencies to reimburse the 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:**

FY	F&A RATE	ADMIN	FACILITIES	INCREASE
FY07	52.5	26	<b>26.5</b>	<b>1.5</b>
FY10	54.5	26	<b>28.5</b>	<b>2.0</b>
FY14	Base Year	26	<b>?</b>	<b>?</b>


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**SIMS FY15 Website:** [simsweb8.ci.northwestern.edu/SIMS/](http://simsweb8.ci.northwestern.edu/SIMS/)

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

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## 1. Room Listing After Logon



**Facilities Management – Planning  
Space Information Management System**

SIMSWEB 8  
F  
Sp  
Stand

Department Name: **Materials Research Ctr** Survey Instructions   Reports   General Comments   Logout

**1. Select a Room to Edit**  
[Rolllover for instructions](#)

Edit	Building Code/Description	Room Number	Room Description	Room Type	Area	Confirmed Date	Pending Change
<a href="#">Edit</a>	8735 TECHNOLOGICAL INSTIT	-K109	Supply Closet	313 ADMIN. OFFICE	9.33		
<a href="#">Edit</a>	8735 TECHNOLOGICAL INSTIT	-K111	MRC OFFICES	315 OFFICE SERVICE	387.59		
<a href="#">Edit</a>	8735 TECHNOLOGICAL INSTIT	-K119	MRC Staff Office	313 ADMIN. OFFICE	124.77		
<a href="#">Edit</a>	8735 TECHNOLOGICAL INSTIT	-K121	MRC Staff Office	313 ADMIN. OFFICE	124.71		
<a href="#">Edit</a>	8735 TECHNOLOGICAL INSTIT	-K123	MRC Staff Office	313 ADMIN. OFFICE	216.28		
<a href="#">Edit</a>	8786 COOK HALL (MLSB)	01016	MRC X-RAY Facility	250 NONCLASS LABORATORY	2109.71		
<a href="#">Edit</a>	8786 COOK HALL (MLSB)	01018A	MRC Xray DARKROOM	250 NONCLASS LABORATORY	90.89		
<a href="#">Edit</a>	8786 COOK HALL (MLSB)	01018B	MRC XRAY Mgr. Office	310 FACULTY OFFICE	143.80		
<a href="#">Edit</a>	8786 COOK HALL (MLSB)	01034	MRC CLaMMP	250 NONCLASS LABORATORY	1952.29		
<a href="#">Edit</a>	8786 COOK HALL (MLSB)	01072A	MRC Xray chemical rm	255 NONCLASS LAB SERVICE	120.25		



1 2 3 4 5  
Total page 5

**2. Room Information**  
[Rolllover for instructions](#)

Room Description:

Room Type:

Program Classification:





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**What is Activity Code for Step 5?**

A 4-digit designator indicating the type of activity occurring in the room

P = primary use  
S = use in selected circumstances

Activity	Code	Use in Academic Units	Use in Central Admin Units	Definition on Page
Instruction	0005	P		8
Sponsored Research	0010	P		8-9
Department Research	0007	P		10
Sponsored Training	0085	P		10
Industry Clinical Trial	0012	P		11
Other Sponsored Activity	0014	P		11
School/Department Administration	0060	P		11-13
Library	0035	S	P	15
Student Services	0065	S	P	15
General Administration	0040		P	15-16
Sponsored Projects Administration	0050		P	16
Operation & Maintenance	0075		P	16
Specialized Service Facility	0110		*	17
Other Institutional Activity	0016	P	P	18-19
Non-University Activity	9950	P	P	19
Vacant/Not in Use	9975	P	P	19
Under Construction	9980	P	P	19
End of Lease	9985	P	P	19
Nonassignable	9999	P	P	19-20



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### 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

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**2. Room Information – Review Room Type**

Edit	8786 COOK HALL (MLSB)	0108B	MRC XRAY Mgr. Office	310 FACULTY OFFICE	143.00
Edit	8786 COOK HALL (MLSB)	01034	MRC CLAMMP	250 NONCLASS LABORATORY	1962.29
Edit	8786 COOK HALL (MLSB)	01072A	* MRC Xray chemical rm	256 NONCLASS LAB SERVICE	120.25

Total page 5

**2. Room Information**  
[Roll over for instructions](#)

Room Description: MRC Staff Office

Room Type: 313\_ADMIN OFFICE

Program Classification: 253\_ENVIRONMENTALLY CONTROLLE

**3. Update Department Assignments and Station**  
[Roll over for instructions](#)

If you wish to request a change in the Department Assignment for this room, please click the button to the right

Department Assignment for this room

313\_ADMIN OFFICE  
 251\_CELL/TISSUE CULTURE ROOM  
 252\_LAB EQUIP ROOM  
 253\_ENVIRONMENTALLY CONTROLLE  
 254\_RESEARCH DARKROOM  
 255\_NONCLASS LAB SERVICE  
 256\_GLASS WASH  
 257\_AUTOCLAVE  
 258\_LAB STORAGE ROOM  
 259\_LINEAR EQUIP ROOM  
 260\_EQUIP CORRIDOR  
 261\_SPECIAL FAC CORRIDOR  
 262\_LAB SUITE CORRIDOR  
 263\_RESEARCH EXAM/INTRVW RM  
 264\_RESEARCH ASSET LOCATION  
 265\_FREEZER FARM  
 266\_RECHRG OPERATION SUPPORT  
 310\_FACULTY OFFICE  
 311\_RESEARCH STAFF OFFICE  
 312\_GRAD STUDENT OFFICE  
 Grad 313\_ADMIN OFFICE

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**4. Select Assignees and Productivity Department**

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

**4. Select Assignees and Productivity Department \*\*\*\* NOTE: This field has been modified. Please review instruction on how to complete the combined Assignee/Productivity Department Selection.**  
[Roll over for instructions](#)


**Step 1: Select Assignee**  
 Use lookup to choose Assignee by name:  
 Last Name


Or:  
 Select assignee by position (where applicable, see instructions)

**Step 2: Select Productivity Department for EACH Assignee, Individually**

**Step 3: Select Assignee/Prod Dept %**

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## 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)

**5. Complete Room Activity Information**  
[Roll over for instructions](#)

Repopulate  
With Previous  
Year's Data

0005 Instruction  
0007 Department Research  
0010 Sponsored Research  
0012 Industry Clinical Trial  
0014 Other Sponsored Activity  
0016 Other Institutional Activity  
0020 Salaries & Wages (Calculated)  
0035 Library  
0040 General Administration  
0050 Sponsored Project Administra  
0060 School/Department Administra  
0065 Student Services  
0075 Operation & Maintenance  
0085 Sponsored Training

100 %  
Add  
Remove

Comments on  
Activity Codes, if  
clarification is  
required:

**Room Activity of Previous Year:**

0020 Salaries & Wages (Calculated)  
100%

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## 6. Complete Room Occupants

- Including all occupants and/or select the options

**6. Complete Occupant Information**  
[Roll over for instructions](#)

Last Name

Retrieve Occupant List

Add  
Remove



Hagman, Aleta Lynn\_Materials Research Ctr

-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.)

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### 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 \*\*\*\* NOTE: New Field in FY 13 - Only available for spacetypes 201 - 299.  
[Rollover for instructions](#)

8. Write a Brief Comment  
[Rollover for instructions](#)

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### 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)

Recharge Facility

Shared by all Departmental Research Staff

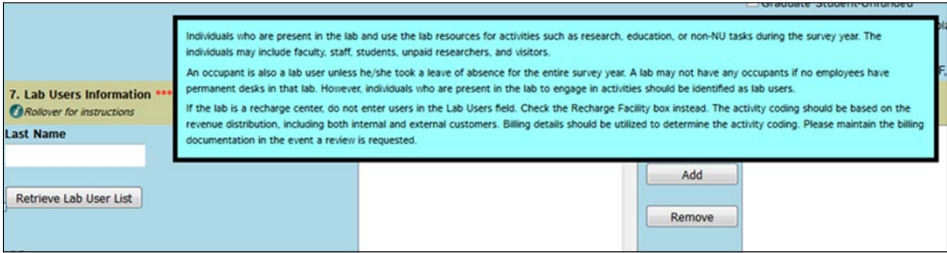
Note: In cases where a room is shared by more than one lab user, this list should reflect ALL of the lab users for all departments in a room

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### 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

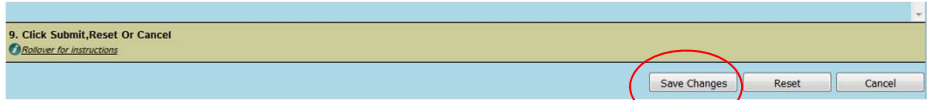


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### 9. Save Changes / Submit

- Before moving on to the next room, you **MUST** click Save Changes to preserve the edit



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## Do you need to survey a Research Lab?

- Room Type 201 – 299
- Room Type 210 and 215 (Class Lab) should be 100% Instruction

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### *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%

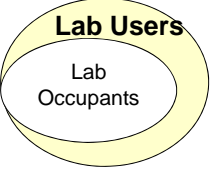
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### **An Approach of Coding Research Labs**

- 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, NMFF paid users?
  - If needed, reference ISIS to obtain initial user list  
(\* ISIS: Integrated 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





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### **Suggested Steps of Coding Research Labs**

- 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**

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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 the 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

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### 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:

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

Class Code Definition (every chartstring has a class code):  
<http://www.northwestern.edu/coststudies/functional.html>



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### Activity Coding Examples

Activity	Activity Code
Working on an R01	Sponsored Research
Working on a NSF award	Sponsored Research
Working on a NRSA Training Grant (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 <u>start-up or discretionary fund</u>	See Above; If <u>not</u> cost shared: Departmental Research
Working on a research project awarded by Cancer Center through <u>competition</u>	Sponsored Research
Seeing patients, NMG activities	Non-University Activity
Lab being renovated for a new PI coming next FY	Under Construction
Recharge Subsidy provided by Deans or Office for Research	Departmental Research

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### 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 idle, 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 discussions.***

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## *Student Space*

- Dual Roles Consideration:
  - Learning implicitly occurs as a student -> Instruction must be considered
  - Considering the course workload when coding Instruction
    - Higher % of Instruction for undergrad students
- Sponsored Research
  - Research Assistant role
  - Generally, supported by sponsored research projects
- Student Aid
  - Direct Loans, Fed 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



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## *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

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### 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 Slides for Student Space
- **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

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## Questions?

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

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