

# **APPENDIX A**

## **GUIDELINES FOR DOCUMENTATION OF SPONSORED RESEARCH**

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### **Background**

The objective of documentation is to allow an independent person to review a department's space and to understand the basis for its coding. Documentation is critical because the space inventory is subject to government and internal audits and often these audits take place many months after the space inventory has been completed and certified. The documentation maintained by each department should be sufficient to allow for this subsequent review.

The federal government specifies time retention requirements. Documents should be retained for three years after the calculated indirect cost rate is submitted, or until all litigation, claims or audit findings involving the records have been resolved. (OMB Circular A-110, Section 53(g))

### **Type of Information to Document**

The coding of space used by multiple departments and/or for multiple purposes should be supported by some form of documentation. Space usage changing regularly throughout the fiscal year or from year to year should also be documented adequately.

For space used by multiple departments or for multiple functions, and for space (labs and lab support, etc.) coded to Sponsored Research, documentation should clarify, for example, the following:

- Who used the space.
- How the space was used, e.g., "Dr. Smith's NSF grant for ??????" or "Award #: xxxxx"
- How the functional coding was determined.
- How the Percentage of Use was determined.
- The name of the occupant(s) or other person(s) familiar with how the space was used.

### **Documentation for Space Not Coded to Sponsored Research**

The level of documentation detail depends on the situation. If the coding of a room is routine and self-evident, extensive documentation is not necessary. For example, the coding of a lecture room used by the Chemistry Department for Instruction does not need to be supported by detailed documentation. However, more complex situations may require some form of documentation to make clear to others why the space has been coded properly.

### **Documentation for Space Coded to Sponsored Research**

For space (labs and lab support, etc.) coded to Sponsored Research, detailed and complete documentation of the methodology used to determine functional use is required. This documentation should include the accumulation of information regularly retained by the department that is available such as room assignment rosters, graduate and teaching associate appointment sheets, etc. It is not always necessary to create new documentation; often the supporting information already exists and simply needs to be organized in a document file and retained.

The key information required for Sponsored Research is identification of the research. You can use account number(s), Sponsor, Title of research project(s), or other definitive description of the research. In addition, you can add explanations stating how the coding decision was made, including: who was interviewed to determine the use of the room, supporting documents that may be attached to the signed Certification Report, lists of department staff, etc.

The sponsored research documentation form included below has been designed to standardize the collection/reporting of the documentation required to support the functional coding of sponsored research space. This form can: act as a cover sheet to additional documentation, track the project numbers and participants, and record the source of the data for determining functional use. Completion of this form for space coded to Sponsored Research is **optional**, however, completed forms assist both your department staff and Financial Reporting by providing standardized, written documentation from the inventory year.

## SPONSORED RESEARCH - DOCUMENTATION FORM

<b>DEPT CODE:</b>	<b>ROOM TYPE:</b>	<b>ROOM ID:</b>
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1) How were the function code(s) and percentage(s) determined? *(Check all that apply.)*

- interview(s) with responsible person(s) as listed below.  
 general knowledge of room's use  
 written documentation, (e.g., logs) List: \_\_\_\_\_

2) What activities took place in this room during the twelve-month fiscal year (9/1/XXXX - 8/31/XXXX)?

**Note:** If activity(ies) or level of effort (percentages) changed over the twelve months, please complete additional Activity Log(s) as necessary.

Time Period	
Start Date	Stop Date

Responsible Person Interviewed: \_\_\_\_\_

Principal Investigator (if different): \_\_\_\_\_

Percent	Activity	Account Number *	Research Participant(s)	Position
<b><u>Sponsored Research</u></b>				
1.	Project #1	_____	_____	_____
2.	Project #2	_____	_____	_____
3.	Project #3	_____	_____	_____
<b><u>Departmental Research</u></b>				
4.	Project #1	_____	_____	_____
5.	Project #2	_____	_____	_____
6.	<b>Dissertation</b>	_____	_____	_____
7.	<b>Homework</b>	_____	_____	_____
8.	<b>Instruction</b> (scheduled classes)	_____	_____	_____
9.	<b>Departmental Administration</b>	_____	_____	_____
10.	<b>Other Institutional Activities</b> (e.g. visiting scholar with own funding)	_____	_____	_____
11.	<b>Patient Care / Other</b> (provide expansion)	_____	_____	_____

Dept. Representative: \_\_\_\_\_ Date: \_\_\_\_\_

Position: \_\_\_\_\_ Phone No.: \_\_\_\_\_

