

NIH POLICY MANUAL

1210- Utilization of Administrative Space

Issuing Office: OD/OM/ORFDO/DFP 301-496-5037

Release Date: 3/11/2008

1. Explanation of Material Transmitted:

This new chapter explains policies and procedures necessary to evaluate the utilization rates of Administrative space on the Bethesda Campus, National Capital Region (NCR), and beyond NCR as well.

2. Filing Instructions:

Remove: N/A

Insert: Utilization of Administrative Space dated 3/11/2008

PLEASE NOTE: For information on:

- Content of this chapter, contact the issuing office listed above.
- NIH Manual System, contact the Office of Management Assessment, OM, on (301) 496-4606.
- Online information, enter this URL: <http://www1.od.nih.gov/oma/manualchapters/>

Utilization of Administrative Space

A. Purpose

The purpose of this policy is to maintain administrative space within the target NIH Utilization Rates (URs), to recapture administrative space no longer required, when practical, and to provide an opportunity for space no longer required to be re-assigned to another IC and/or OD Office in need of administrative space. In addition, this policy allows NIH to respond effectively to quarterly reporting as part of the DHHS Real Property Asset Management Plan, which requires a plan to reduce URs exceeding targets. The policy will be used for Administrative Space in predominant-use administrative facilities on the Bethesda campus, NCR, and beyond NCR. This policy excludes office space in laboratory facilities.

B. Background

The NIH occupies approximately 19 million rentable square feet (sq. ft.) of space on the Bethesda campus and in NCR leased facilities, of which 22 percent is administrative space. There is a small amount of administrative space on-campus; however the majority is in off-campus leased facilities. NIH uses a UR of 160 net assignable sq. ft. (nasf) per person on-campus and 190 nasf per person off-campus. These URs are below the maximum 215 nasf per person standard recently established by Department of Health and Human Services (DHHS), see References, item #2. These URs also provide a means of controlling the allocation of administrative space assignments.

C. Policy

ICs and OD Offices occupying administrative space in administrative facilities must strive to maintain their URs at/near the NIH target UR of 160 nasf for on-campus and 190 nasf for off-campus facilities. If the ORFDO/DFP, during its annual UR analysis, determines that IC and/or OD Offices are exceeding the target ranges of 160-180 nasf on-campus or 190-215 nasf off-campus, those ICs and OD Offices may be required to relinquish space, if economically feasible. If an IC and/or OD Office UR falls within the target range of 160-180 nasf on-campus or 190-215 nasf off-campus, additional requests for space will not be approved until the IC/OD Office reaches the maximum expected utilization rate. The ORFDO, DFP will support the NIH Space Recommendation Board (SRB) to manage the utilization of administrative space both on and off the NIH main campus. The SRB will work to maintain space assignments in NIH administrative facilities within the NIH target UR range. This will ensure that space is utilized to its maximum efficiency and cost effectiveness.

D. References

Utilization of Administrative Space

1. Memorandum dated November 23, 1993, signed by Acting Director, NIH, Subject: Space Request Procedures.
2. Memorandum dated July 14, 2003, signed by Assistant Secretary for Administration and Management, DHHS, Subject: Office and Related Space Utilization Rate Policy.
3. Memorandum dated March 29, 2005, signed by Chairman, Facilities Working Group, Subject: Update to the Space Justification Document Process.
4. ORFDO Space Request Website:
<http://orf.od.nih.gov/Planning+and+Space+Management/Requests+for+Space/>
5. Space Justification Document (SJD) template, including a link to a Word version:
<http://orf.od.nih.gov/Planning+and+Space+Management/Requests+for+Space/sjdforms.htm>
6. NIH Census: <http://orf.od.nih.gov/Planning+and+Space+Management/NIH+Census/>
7. NIH Rules for Calculating Space:
<http://orf.od.nih.gov/Planning+and+Space+Management/How+Big+is+a+Square+Foot/>
8. NIH Manual Chapter 1743, "Keeping and Destroying Records," Appendix 1, NIH Records Control Schedule:
<http://www1.od.nih.gov/oma/manualchapters/management/1743/>
9. NIH Delegation of Authority #05 entitled "Space Management":
<http://delegations.od.nih.gov/DOADetails.aspx?id=1577>

E. Definitions

1. Administrative Space: Space primarily used for offices, private and open work stations, plus associated storage in a building with a predominance of administrative space. In accordance with the DHHS Office and Related Space Utilization Rate Policy, no private office shall exceed 350 sq. ft. and offices over 250 sq. ft. are reserved to agency heads or equivalents, or department level officials (Deputy Assistant Secretary or higher).
2. Census: The Census is used for NIH Master Planning and for more specific space and other planning purposes by the Institutes and Centers (ICs) and NIH Offices of the Director (OD). The Census is also used for calculating certain central service charges to the ICs and utilization rates for administrative space. Data may be added to or updated in the Census at any time, but it is collected annually each May and used as a point-in-time snapshot for planning activities. The Census counts staff who hold an NIH ID and who occupy NIH facilities on a regular basis. "Staff" includes employees (FTEs),

Utilization of Administrative Space

contractors, guest researchers, research fellows, summer students, tenants and volunteers. No distinction is made for part-time or limited-term employees, each of whom is counted as a whole number. Indefinite/intermittent staff who work only a few hours or days per month, including guest researchers and volunteers, are each counted as one fourth of a staff member. The Census counts people in all NIH facilities whether or not the facility and/or the staff receive central services supported by the NIH Management Fund.

3. Division of Facilities Planning (DFP): provides staff support to the SRB in coordinating the programmatic and facility analyses of the utilization of administrative space, identifying options, and developing recommendations, with technical input from the Space Advisory Team comprised of representatives from the Office of Research Facilities Development and Operations (ORFDO), the Office of Research Services (ORS) and the Center for Information Technology (CIT), if needed.
4. Facilities Information Management System (FIMS): provides access to a Computer Aided Facility Management system (CAFM) to support space management for NIH. The system includes floor plan drawings and reports of NIH facilities and provides access to users via the internet. This allows viewing and printing of CAFM drawings from an intelligent data source; it contains details including but not limited to, room numbers and types, and IC/OD Office space assignments shown by color.
5. Facilities Working Group (FWG): provides NIH governance and defines the 5-Year Strategic Facilities Plan for both government owned and leased space.
6. NIH Director's Reserve (DR) Space: The "NIH Director's Reserve Space" is space within the NIH space inventory that is available for loan and/or assignment by the SRB, on behalf of the NIH Director. The DR provides space for new initiatives and is used as swing space for programs needing a temporary home while NIH renovates their "permanent" facilities. On May 13, 2002, the NIH Director established and continues to support a "rolling NIH Director's Reserve Space" of 25,000 nasf for both research and administrative space. The cost of the unassigned NIH Director's Reserve Space is built into the space billing rates as a vacancy factor.
7. Space Analysis: The evaluation of the URs for the ICs and OD Offices by building in which the rate is determined by dividing the total nasf assigned to the IC/ OD Office in the building, including dedicated conference rooms, break rooms, and other space assigned to the IC, by the number of IC staff in the building, according to the NIH Census. This calculation excludes NIH-wide, joint use space, such as ORS managed conference rooms and cafes. IC and OD Office staffing numbers come from the annual

Utilization of Administrative Space

NIH census and include every employee except for summer students. An IC/OD Office is not eligible for additional administrative space in a given building if its utilization rate in that building or other adjacent buildings it occupies is greater than 180 nsaf on-campus or 215 nsaf off-campus.

8. Space Justification Document (SJD): To request space, a SJD listing the amount of space, location, purpose and date required, must be submitted by the IC Director, Scientific Director, or Executive Officer to DFP, Building 31, Room 3B44. The request must be signed by the IC Director or designee. The SJD is forwarded to the appropriate ORFDO Space Coordinator (see below) for review and evaluation. The SRB reviews the evaluation for the request and renders a decision.
9. Space Recommendation Board (SRB): The SRB is a standing subcommittee of the NIH Facilities Working Group (FWG) which meets monthly to advise the NIH Steering Committee and the NIH Director, who has the delegated authority to assign space, on strategic facility planning and priorities. The primary role of the SRB is to allocate space to individual IC and OD Offices. The 5-year NIH Strategic Facilities Plan, approved by the FWG, establishes the boundaries for the SRB space allocations. Membership of the SRB includes the following:
 - a) The Deputy Director for Intramural Research addresses program issues and prioritizes requests for laboratory and clinical research space for the Intramural Research Program;
 - b) The Deputy Director for Management addresses program issues and priorities for administrative space requests from the ICs and OD Offices, including the Extramural Research Program;
 - c) The Associate Director for Research Facilities Development and Operations (ADRFDO) addresses the facility and infrastructure implications and technical feasibility of requests; and
 - d) An IC Director who is a member of the FWG also sits on the SRB on a rotating basis.
10. Target (Utilization) Range: a range in net assignable square feet that is 160-180 for on-campus and 190-215 for off-campus administrative facilities.
11. Under-utilized: Assigned space that exceeds the maximum utilization rate of 180 for on-campus and 215 for off-campus administrative facilities.

Utilization of Administrative Space

12. Utilization Rate (UR): In acting on requests for space in an administrative building (such as Building 31), staff and SRB review the request against DHHS and NIH administrative space utilization standards. NIH established UR is 160 nasf per person on the Bethesda campus and 190 nasf per person off-campus. The UR not only captures the private offices and open work stations, but also includes internal circulation, storage, conference rooms, and special spaces (high density file rooms, LAN, break/kitchen rooms, reception areas, meeting/training rooms and libraries). The UR does not include joint-use space such as ORS managed conference centers, cafeterias, retail space, health units, etc., or other spaces specifically identified as excluded on a case by case basis.

Utilization of Administrative Space

F. Responsibilities

1. IC and OD Offices will provide accurate staffing data for the annual census and if the resulting UR analysis result in under-utilized space work with DFP to resolve the actions necessary to reduce or eliminate this space.
2. ORFDO/DFP will evaluate the UR data calculated for each IC and OD Office by building, by dividing the assigned space by the census (space and census data as of May 31st). An analysis will be prepared and under-utilized space identified. This analysis will exclude spaces such as IC and OD Satellite Offices on-campus, joint-use and loaned space, and non-traditional space for the Center for Scientific Review (due to their support of all IC and OD Offices).
3. The SRB will notify ICs and OD Offices with under-utilized space and request them to work with DFP to justify retention and/or relinquishment of this space. The SRB will make the final decision on DFP recommendations for ICs and OD Offices to retain or relinquish under-utilized space.
4. ORFDO/DFP Data Team will provide the necessary census and space assignment data to allow determination of IC and OD Offices URs, and make required changes in the assignment of space.
5. The ORS, Office of Business Systems and Finance (OBSF) will make any rent changes resulting from SJD decisions prepared by DFP.

G. Procedures

The procedures that follow define the steps to be used by DFP to develop an annual review and analysis of URs and to take the necessary action to seek justification for an IC to retain or relinquish under-utilized administrative space.

Step #1: DFP assembles the data for the UR study as follows:

1. The DFP Space Data Team prepares an excel pivot table using the completed (locked by the June/July timeframe) annual NIH Census and the nasf (in the Floor Plan system at that time) by IC and OD Offices, and by Building.
2. The DFP Administrative Space Coordinator and/or Analyst receives the pivot table from the Space Data Team, and evaluates the data using the following criteria:

Utilization of Administrative Space

- a. Identify IC and OD Office with space that should be excluded from the UR, such as:
 - CC Bone Marrow Clinic (6011 Executive Blvd.) - has multiple private citizen donors not included in the NIH census;
 - ORS Division of Police (Building 31) - special space for roll call room, secured interview rooms, communications room, etc.);
 - Programs previously approved by SRB as exempt to standard UR (i.e., CSR's non-traditional processing rooms);
 - IC Satellite Offices (Building 31) - ICs with main body of staff located in off-campus facilities;
 - A-76 Commercial Activities Review Team (CART) space (6011 EB) - space assigned to an OD Office but IC staff temporarily use this space for meetings and working groups; and,
 - Space that ICs submit for consideration for exclusion can be reviewed on a case-by-case basis.
- b. Issues related to under-utilized space as follows:
 - Space previously approved to house projections;
 - Layout of the interior and base building floor plate that does not allow for efficient utilization of the space. Features such as curved walls, irregular shapes, internal columns or interior HVAC units with clearance requirements that could potentially contribute to a higher UR will be examined;
 - Existing private offices in-place that exceed the DHHS policy of 250 and 350 sq. ft., for agency heads, in which renovations to make smaller are not cost effective, can be grandfathered-in, but still considered as part of the UR.
3. The DFP Administrative Space Coordinator and/or Analyst Identifies ICs and/or OD Offices with under-utilized space in excess of the above mentioned criteria.

Step #2: Upon completion of the UR study DFP develops a presentation of its evaluation for review by the SRB recommending approval to proceed to request IC and OD Offices to justify under-utilized space. The presentation will include:

1. Overall analysis of administrative facilities URs by IC and OD Offices by building;

Date: MM/DD/2008

Replaces: None

Issuing Office & Phone: OD/OM/ORFDO/DFP 301-496-5037

Utilization of Administrative Space

2. Identification of ICs and/or OD Offices with under-utilized space in excess of the standard UR target range, a listing of the evaluation criteria, and a strategy to create contiguous blocks of space to be relinquished;
3. Identification of potential IC and OD Offices that could backfill the space from pending SJDs.

Step #3: Upon SRB approval of the above recommendations, DFP prepares a memorandum to be signed by the SRB and forwarded to the IC Director and/or OD Office Director or designee with under-utilized space and with cc to IC Executive Officer. The memo includes the following:

1. Define the analysis and indicate the amount of space identified as under-utilized;
2. Request the IC and/or OD Office to confirm that their NIH space inventory is reflected accurately;
3. Identify any initiatives, such as ARAC and A-76, that are not reflected in the latest census or any other staff not captured in the census;
4. A SJD number will be assigned for tracking purposes, and the IC and OD Office will be requested to submit a justification why the space should not be relinquished (or justification to retain), subject to SRB approval;
5. The DFP may recalculate UR based on updated information from the IC and/or OD Office. If UR still exceeds maximum they will have one more year to bring it down. This would mean including in their next year's budget the necessary renovation funds to achieve the UR reduction;
6. If the IC and/or OD Office have not reduced the UR the following year, they will receive a memo from the SRB requesting them to identify a contiguous block of space to be relinquished at their expense.

Step #4: Upon receipt of the IC and/or OD Office SJD, the standard process of evaluation and presentation to the SRB will be conducted based on the following criteria:

1. Acceptable justification for IC and/or OD Office with under-utilized space are as follows:
 - a. Future initiatives that will result in additional staff. The IC and/or OD Office must provide a plan to house the additional staff prior to bringing them on-board, approved by the IC Director or Deputy Director for Management, within the under-utilized space; and,

Utilization of Administrative Space

- b. If the IC and/or OD Office plan determines their existing space will not accommodate the new staff without major alterations, the SRB may require the IC and/or OD Office to have a study conducted to demonstrate whether the IC and/or OD Office could by doubling up in offices that exceed (150 nasf) or by setting up workstations in open areas, or by creating private offices in open offices, achieve an acceptable UR.
2. SRB opportunities to consider capturing under-utilized space are as follows:
 - a. IC and/or OD Offices, on-campus in Building 31, that exceed the 180 UR and where there is an opportunity to isolate a minimum of 250 nasf (typical front and back office) will be considered for assignment to the DR;
 - b. IC and/or OD Offices, off-campus that exceed the 215 UR by 1,000 nasf or more will be requested to realign staff and make the necessary alterations at their expense in order to isolate a contiguous block of space to be assigned to the DR;
 - c. If the amount and location of the under-utilized space is not deemed as acceptable for reassignment to another IC and/or OD Office, the SRB would be advised not to request it; and,
 - d. If under-utilized space to be relinquished is acceptable, the SRB decision is documented in a memo identifying (per location and in net assignable sq. ft.) estimated reduction of rent amount, and estimated quarter in which rent stops and includes any forced move agreements.
3. The SJD Log and floor plans are updated to reflect the decision and related data.

Step #5: NIH Director's Reserve Space; NIH policy authorizes the ORFDO, DFP to have up to 25,000 net assignable square feet (nasf) each, of research and administrative space available in any Fiscal Year. If an IC and/or OD Office is required to relinquish under-utilized space to the DR inventory that would exceed the 25,000 nasf the IC and/or OD Office will be required to continue to fund the rent until the DR threshold falls below the maximum. Every effort will be made to reassign the space to another IC and/or OD Office to minimize the amount of time required to fund the rent.

Utilization of Administrative Space

H. Records Retention and Disposal

All records (e-mail and non-e-mail) pertaining to this chapter must be retained and disposed of under the authority of the NIH Manual Chapter 1743, "Keeping and Destroying Records," Appendix 1, NIH Records Control Schedule; Sections 1100 - General Administration, Item 1100-B-1, "Policy Files" and Section 2600 Procurement, Property and Supply Management, B. Public Buildings and Space including any other item that applies.

NIH e-mail messages: NIH e-mail messages (messages, including attachments, that are created on the NIH computer systems or transmitted over the NIH networks) that are evidence of the activities of the agency or have informational value are considered Federal records. These records must be maintained in accordance with current NIH Records Management guidelines. Contact your IC Records Officer for additional information.

All e-mail messages are considered Government property, and if requested for a legitimate Government purpose, must be provided to the requester. Employees' supervisors, the NIH staff conducting official reviews or analysis, and the Office of Inspector General may request access to or copies of the e-mail messages.

E-mail messages must also be provided to the Congressional Oversight Committees, if requested, and are subject to the Freedom of Information Act requests. Since most e-mail systems have back-up files that are retained for significant periods of time, e-mail messages and attachments are likely to be retrievable from a back-up file after they have been deleted from an individual's computer. The back-up files are subject to the same requests as the original messages.

I. Management Controls

The purpose of this manual chapter is to provide a complete understanding of the utilization of administrative space, the process to identify under-utilized space, and the use of the SJD process to relinquish space.

1. Office Responsible for Reviewing Management Controls Relative to this Chapter:

Through this manual issuance, the Division of Facilities Planning (DFP), Office of Research Facilities Development Operations (ORFDO) is responsible for the method used to ensure that management controls are implemented and working.

Utilization of Administrative Space

2. Frequency of Review (in years):

Annual review.

3. Method of Review:

The DFP will maintain oversight and ensure effective implementation and compliance with this policy through the annual NIH Census and the Floor Plan System and present its findings to the NIH Space Recommendation Board.

4. Review Reports are sent to:

Review reports are sent to the Associate Director for Research Facilities Development and Operations and the Deputy Director for Management. Reports will indicate management controls are in place and working. Issues of concern will be brought to the attention of the Associate Director for Research Facilities and Operations.