

# STANFORD UNIVERSITY

## FY 2008 SPACE INVENTORY INSTRUCTIONS

<b>Table of Contents</b>	<b>Page</b>
Summary	1
<ul style="list-style-type: none"> <li>• Key Points</li> <li>• Certification Process</li> <li>• Deadline</li> <li>• If You Need Help</li> </ul>	1 2 3 3
I. Summary of Changes from the Prior Instructions	5
II. Why Is a Space Inventory Required?	7
<ul style="list-style-type: none"> <li>• University Tracking of Space</li> <li>• Recovery of Indirect Costs</li> <li>• Other Uses/Users</li> </ul>	7 7 8
III. Updating the Space Inventory	9
<ul style="list-style-type: none"> <li>• General Expectations</li> <li>• Methods of Updating Data</li> </ul>	9 10
IV. Coding the Data: Definitions and Guidelines	11
<ul style="list-style-type: none"> <li>• Occupancy</li> <li>• The Reporting Period</li> <li>• Shared Room Use</li> <li>• Level of Use to Report</li> <li>• Types of Space Codes</li> <li>• Room Type Codes</li> <li>• Function Codes</li> </ul>	11 11 12 12 13 13 15
V. Function Code Definitions	19
A. Academic Space	19
1. Instruction	19
2. Departmental Research	20
3. Organized Research	22
4. Other Institutional Activities	24
5. Specialized Service Facility	25
6. Patient Care	26
7. Departmental Administration	26
8. Student Administration & Services	27

<b>Table of Contents (cont.)</b>	<b>Page</b>
V. Function Code Definitions (cont.)	
B. Central Support Space	28
1. General & Administrative	28
2. Sponsored Projects Administration	29
3. University Libraries	29
4. Operation & Maintenance	30
C. Auxiliaries, Hospital, and Non-Stanford Entities	31
1. Auxiliaries, Hospital & non-Stanford Entities	31
2. Dormitories and Housing & Dining Services	32
D. Inactive or Temporarily Unassignable Space	33
1. Inactive	23
2. Temporarily Unassignable	23
V. Specific Coding Issues	35
• Academic Departments: All Office Space (Room Type Codes 300 - 399)	35
• Academic Departments: Function-Specific vs Departmental Administration	35
• Fundraising	37
• Service Centers	37
1. Academic	37
2. Administrative	40
• Recording Multiple Room Type and/or Department Codes	41
• Changing Multiple Rooms for the Same Reason	42

## Table of Contents (cont.)

### Appendices

- A. Listing of Room Type Codes
- B. Functional Classifications by University Area
- C. Guidelines for Documentation
- D. Sample iSpace Room Detail Report
- E. Sample Floor Plan
- F. Sample Certification Report
- G. Glossary of Terms
- H. Stanford University's Policy on Classification of Sponsored,  
University and Departmental Research

### Reference Documents (available separately)

iSpace Reference Manual  
Research Policy Handbook

[This page is intentionally blank.]

## Summary

The information you provide during the inventory of campus space is an integral part of the process. The Office of Research Administration, Cost and Management Analysis group (CMA) utilizes the functional space usage information provided by you in the calculation of Stanford's indirect cost rate as required by the federal government. Because your inventory could be audited, you should retain documents and notes that would help you recall the items being reported.

This document describes the policies and procedures for coding space in the Space Inventory. **Although not all Function Codes are relevant to all users, everyone should read all pages. To assist you further in coding your space, a Glossary of Terms is provided in Appendix F.** If you have any questions about which sections of the Space Inventory Instructions are relevant to your area, please contact CMA (see page 3).

## Key Points

- **Update Process**

All space coding must be reviewed and recoded, if appropriate. Changes have occurred in these instructions that affect room coding in iSpace for the current inventory process. See page 5 for a summary of changes.

CMA is increasing its participation in space coding now and in the future to ensure the highest possible level of accuracy. This participation will differ depending on the type of your department: academic vs. administrative (including auxiliaries and non-Stanford entities).

### Academic

CMA will focus its review of departmental entries primarily on the following items (versus a full census review of each department).

1. Space coded in iSpace<sup>1</sup> to Organized Research.
2. Sponsored research and cost sharing accounts with expenditures as of June 2008.

### Administrative

Prior to the archive of iSpace, CMA will review the functional coding reported by each department to ensure its appropriateness.

Once all updates are made, each department is required to certify per the instructions on page 2.

---

<sup>1</sup> Stanford University Space Database

## Summary (cont.)

### Key Points (cont.)

- **Importance of the Space Inventory**

The Space Inventory is an important part of the University's Indirect Cost Rate calculated by CMA. A large portion of the indirect costs recovered by the University is dependent on the Space Inventory. Therefore, the accuracy of its coding, as updated by you, is of critical importance. Feel free to ask questions.

- **Documentation**

Sufficient documentation to support the coding of your space, especially for space coded to Organized Research (OR), must be maintained. Documentation is important to support coding decisions in the event of audit by Internal Audit, CMA, external auditors, the Defense Contract Audit Agency (DCAA), and sponsoring agencies. **See Appendix C: Organized Research Documentation for detailed guidance on requirements.**

A form has been designed to standardize the collection/reporting of the documentation required to support the coding of Organized Research space. Completion of this form for ALL space coded to OR will assist CMA in its review of each department's space. In the event of a DCAA audit, this form will minimize the impact on a department's faculty and staff by providing written documentation. **See Appendix C: Organized Research Documentation for more information about the OR documentation form.**

- **Assistance**

It is not expected that everyone will understand fully all aspects of the Space Inventory Instructions. Assistance is readily available, and we encourage you to use it. See "If You Need Help" on page 3.

### Certification Process

The certification is an acknowledgment by the department space coordinator that the Space Inventory was updated in accordance with the requirements set forth in these Space Inventory Instructions. Please be sure you understand these Instructions before updating your space inventory. Upon completion of your space inventory update, certify its completion as follows.

- (1) Print a Certification Report from iSpace for your department.
- (2) Review the report to insure that all changes are reflected.
- (3) If all changes are not reflected, make the necessary changes and repeat step 1.
- (4) If all changes are reflected, review the changes with the Department Administrative/Financial Manager. (For SoM, Department Business Manager)

## Summary (cont.)

### Certification Process (cont.)

- (5) After the review, sign and date the report. (For SoM, Department Business Manager will sign and date the report.)
- (6) **You must retain the signed report in your file** in the event of an audit. This is the only evidence of certification accepted by Internal Audit and the Government.
- (7) Notify CMA via e-mail that your space inventory update is complete. (For SoM, Department Business Manager will do notification and cc: to Medical School Office of Facilities and Planning Services, and to Department Chair)

### Deadline

- Send notification of completion and certification by:

*September 30 (30 days after fiscal year close)*

- Send notification of completion to...


For All Departments (incl. SoM): [DIDA@STANFORD](mailto:DIDA@STANFORD)

For SoM: [MEDSPACEINFO@LIST.STANFORD](mailto:MEDSPACEINFO@LIST.STANFORD)


For Stanford Health Center: [MOLLINEDO\\_D@HOSP](mailto:MOLLINEDO_D@HOSP)

**If You Need Help With**

- **Room Numbering, Room Measurements, Floor Plans:**

	University Departments	Dobie Howard (x3-3289) or EM: <a href="mailto:DOBIEH@BONAIR">DOBIEH@BONAIR</a>
	School of Medicine	Vivian Jones (x4-3109) or EM: <a href="mailto:VIBRANT@STANFORD">VIBRANT@STANFORD</a>
	Stanford Health Services	David Mollinedo (x5-5958) or EM: <a href="mailto:MOLLINEDO_D@HOSP">MOLLINEDO_D@HOSP</a>
- **iSpace Access:**

	University Departments	Dobie Howard (x3-3289) or EM: <a href="mailto:DOBIEH@BONAIR">DOBIEH@BONAIR</a>
	School of Medicine	Vivian Jones (x4-3109) or EM: <a href="mailto:VIBRANT@STANFORD">VIBRANT@STANFORD</a>
- **Space Coding and any other problems/issues, call CMA:**

	Dave Ida, Senior Space Analyst	5-7565 or EM: <a href="mailto:DIDA@STANFORD">DIDA@STANFORD</a>
	Tom Wong, Co-Director	3-9020 or EM: THOMAS.WONG@STANFORD

[This page is intentionally blank.]

## I. Summary of Changes/Key Points

There are no major negotiated policy changes affecting space that have significantly changed these instructions from the prior issue in 2006. However, as a result of the recent DCAA audit, accuracy and documentation is of utmost importance.

**Please review the following items to insure the accuracy of your space coding.**

### iSpace System

Stanford uses a database system for tracking the space inventory room information. This web-based system is called iSpace. The primary function of iSpace is to provide a simple and effective process for maintaining accurate information for each room in buildings the University owns or leases.

### iSpace allows for: **Multiple Time Period Allocations**

iSpace records more than one time period of use during the fiscal year. These multiple Time Period Allocations allow for tracking changes in room occupancy or use during the fiscal year easily without resorting to room splits or averaging.

### **Departments Shared Use**

iSpace records more than one department in a room. These multiple departments can each be shown with their percentage of use of the room without resorting to room splits.

### **Recording Primary Individual**

iSpace tracks the individuals who are responsible for directing the activities in each room. This person is associated with each department in a room and is recorded in the Primary Individual field. Multiple individuals can each be shown with their percentage of occupancy in the room.

### **Functional Use Tracking to Primary Individual**

Functional Use coding is now associated with the Primary Individual(s) in a room.

### **Idle Space, e.g., renovations and inactive space**

Idle space is comprised of the following “activities”: (1) space under renovation and (2) space that is inactive. An important question in the decision on how to functionally code idle space is “how long the space was/will be idle?”

- If the space was/will be idle for **3 consecutive months or less**, the space coding is dependent on the “activity”.
- If the space was/will be idle for **longer than 3 consecutive months**, the space should be coded based on the “activity,” which is either under renovation (Function Code “X”) or inactive (Function Code “E”).

Please see the detailed discussion on how to code Inactive or Temporarily Unassignable Space on page 29.

## I. Summary of Changes from the Prior Instructions (cont.)

**Academic Office  
space**

See Departmental Administration on page 25.

**Room Type Codes**

Research Labs have been split into 3 lab room type codes and office room type codes have been modified. See Appendix A

## II. Why Is a Space Inventory Required?

### University Tracking of Space

In the fiscal year when a full census of the space inventory is performed, Stanford University departments must review and update the information related to the size, type, and use of their space for the fiscal year. This process is known as "Updating and Certifying the Space Inventory". The primary purpose of the Space Inventory is to maintain accurate information about space owned or rented by the University. This information is used for a variety of purposes (see below), predominant among them, is the calculation of the Indirect Cost Rate that is applied to Sponsored Research. The Space Inventory provides a basis for the allocation of selected indirect costs, including building and equipment depreciation costs and some operation and maintenance (O&M) costs.

### Recovery of Indirect Costs

The federal government requires calculation of the University's Indirect Cost Rate. The calculation is performed to determine the costs of accommodating sponsored projects at Stanford University. These overhead costs can be reimbursed to Stanford by the government and other sponsors.

The Office of Management and Budget (OMB) Circular A-21, "Cost Principles for Educational Institutions," provides the guiding principles and procedures for determining the costs applicable to work performed by colleges and universities under grants, contracts, and other agreements with the Federal Government and other sponsors.<sup>2</sup>

Additional guidance for Space Inventory classifications is provided by the "Post-Secondary Education Facilities Inventory and Classification Manual, 1993" (the Manual) published by the National Center for Education Statistics. Topics addressed in the Manual include Assignable Square Footage and Room Type Codes and definitions. These items are discussed in greater detail later in these Instructions.

**The allocation and reimbursement of building and equipment depreciation and O&M costs, a major portion of total indirect costs, is directly affected by how departments code their space. It is crucial that you be as accurate as possible in updating the space inventory so that Stanford complies with its obligations under the applicable Federal Regulations.**

---

<sup>2</sup> Circular A-21 states that depreciation and O&M costs (two pools of costs within the indirect cost rate) "shall be allocated to the individual functions performed in each building on the basis of usable square feet of space, excluding common areas such as hallways, stairwells, and restrooms." This is why functional use information is collected through the space inventory.

## II. Why Is a Space Inventory Required? (cont.)

### Other Uses/Users

The iSpace database contains information about buildings used for a variety of purposes, including scheduling and assigning space, facilities planning by the University, and departmental tracking of space use. The user groups include the following:

- . Office of Research Administration
- . Communications Services
- . Environmental Health & Safety Office
- . Facilities Project Management
- . Federal Emergency Management Agency/Department of Energy/  
National Science Foundation
- . School of Medicine Budgeting
- . Medical Center Accounting
- . Network for Student Information
- . Operation & Maintenance
- . Public Safety
- . Registrar's Office
- . Risk Management
- . University Property Administration
- . Fire Protection Services

Given the wide range of use of iSpace, some information requested as part of the Space Inventory is necessary to update the database but is not used in the calculation of the University's Indirect Cost Rate. All iSpace data fields are discussed in the [iSpace Reference Manual](#).

### III. Updating the Space Inventory

#### General Expectations

#### A. UPDATE PROCESS

**Department Space Coordinators need to review carefully all space used by their department and update iSpace as necessary.** Each respondent must:

1. Insure all departmental space is reflected in the iSpace Room Detail Report (FSM-Report A1).
2. Walk through his/her department's space (in all buildings) to verify physically each room's description and attributes.
3. Insure that the physical layout is reflected accurately on the floor plans. Floor plans on website: <http://maps.stanford.edu>. See "If You Need Help" on page 3 for the appropriate contact to report any inconsistencies.
4. Confirm that room numbers listed on the Room Detail Report and floor plans match the actual room numbers for the space.
5. Review the square footage to determine whether it appears reasonable.
  - a. If it seems questionable or inaccurate, contact the appropriate person to arrange for someone to measure it. See "If You Need Help" on page 3 for the appropriate contact.
  - b. For new rooms, also contact the appropriate person to arrange for someone to measure the square footage and update the floor plan if it has not been done yet. See "If You Need Help" on page 3 for the appropriate contact.
6. Carefully assess the use of space in each room for all Time Period Allocations during the fiscal year to determine the correct Room Type Code and Function Code(s). A discussion of these codes begins on page 12.

#### B. IMPORTANCE OF ACCURATE RESPONSES

As discussed in prior sections of these Instructions, it is crucial that individuals, who are appointed as Space Coordinators by their dean, director, department head, or department chair, accurately complete the Space Inventory. Data reported are the sole basis for new and revised information in iSpace. The Space Inventory is subject to Federal and other audits because it is used in the determination of costs to be reimbursed by the Federal Government and other sponsors of contracts and grants.

#### C. ASSISTANCE

We expect that some respondents will have questions about updating the Space Inventory. If you are unsure how to update your inventory, please see page 3 for the appropriate contacts.

### III. Updating the Space Inventory (cont.)

#### Methods of Updating Data

The space inventory is accessed through iSpace and is available on-line as a web-enabled application. Anyone with SUNet can view data in iSpace, however, only designated Department Space Coordinators can input and/or correct data in the system. **We require space coordinators to update their Inventory on-line for changes or corrections and encourage you to do the updates as soon as possible after a change in usage occurs.**

To use iSpace, you must be granted access through your SUNet ID. If you do not already have access, see page 3 for the appropriate contact for access and training. (If necessary, you may update your inventory manually by noting any changes directly on your Space Inventory datasheets and sending them to CMA. You must pre-arrange this with CMA.)

If you have questions about using iSpace or if you need help printing your department's floor plans, contact the appropriate person (See page 3). Please note that floor plans for the University's buildings are available at the following website: <http://maps.stanford.edu>. You need a SUNet ID (or Leland account) to access the floors plans.

**See "If You Need Help" on page 3 for appropriate contacts.** A sample iSpace Room Detail Report and floor plan is shown in Appendix D and Appendix E, respectively.

## **IV. Coding the Data: Definitions and Guidelines**

<b>Occupancy</b>	<b>OCCUPANCY</b>
<b>Department</b>	The Space Inventory process tracks the use of rooms by the occupying department and responsible individuals. The system, iSpace does NOT record “ownership” of rooms. It records occupancy of rooms, even if loaned or borrowed from another department. Thus, department space coordinators must ensure that the final space inventory for the department shows only the rooms that were occupied/used during the fiscal year. The departments with space have been converted over to the new Delphi Department Codes on a one for one basis. iSpace allows multiple departments to share occupancy of rooms, see Composite Room Use.
<b>Primary Individual (PI)</b>	In addition to the department, we track the person responsible for directing the activities (Functional Uses) within each room. This person is called the Primary Individual and is associated with each department occupying the room. There may be more than one individual per department recorded by their percentage share. The Primary Individual is one of the following: <ul style="list-style-type: none"> <li>A) Faculty Member, especially Principal Investigators. These individuals are tracked by name to their offices and labs.</li> <li>B) Department Chair, Program Director, or School Dean. These individuals are responsible for the use of the ‘common departmental space’ and are tracked by position title, not by name.</li> <li>C) Administrative Department Senior Executive (Vice Provost, Director, etc.). These individuals are responsible for all space in a non-academic department and are tracked by position title, not by individual.</li> </ul>
<b>Function Codes to PI</b>	We are now tracking the Functional Use Codes to each person responsible for directing the activities within each room. Each identified Primary Individual will have a segregate set of one or more Functional Use Codes recorded for the specific activities related to their occupancy of the room.
<b>Reporting Period</b>	<b>REPORTING PERIOD</b>  In the fiscal year when a full census of the space inventory is performed, <i>department space coordinators should consider how the space was used over the entire 12-month fiscal year (September 1 through August 31) and NOT how the space is being used at the moment the space inventory is being updated.</i>

## **IV. Coding the Data: Definitions and Guidelines (cont.)**

### **SHARED ROOM USE**

Department space coordinators must consider space use over the 12 months of the fiscal year and should code rooms based on use over that period, rather than at any one point in time. Over the course of the year a single room may have been used by more than one department and/or for more the one purpose (as defined by a Room Type Code).

Various coding options can be used to arrive at a composite picture of each room's use over a full 12-month period. For instance, space that is used for more than one function at a time (e.g., Organized Research and Instruction) or that is used by more than one function at different times during the year should be coded to portray the correct percentage of use of each function.

### **Multiple Time Period Allocations**

In order to simplify the complex usage situations iSpace, can record more than one time period of use during the fiscal year. These multiple Time Period Allocations record start and stop date dates for how a room was used over time. Thus if a room has changed occupancy, Room Type or Functional Use, we can end date the current Time Period Allocation (showing the existing usage) and start a new allocation for the changed use. This eliminates the requirement for 'room splits' or calculating 'actual average' usage.

Within each Time Period Allocation, iSpace allows for shared usage of a room for: multiple Departments; multiple Primary Individuals (PI's) within each department; and multiple Functional Use Codes for each PI. The shared usage is recorded at each level with the estimated percentage of use for each occupant, or functional use. Thus, both simple and very complex coding situations created by real life shared usage can be accommodated easily in the system without calculations to estimate annual average use.

### **Level of Use to Report**

#### **REPORT FUNCTIONAL USE ACTIVITY LEVELS THAT ARE SIGNIFICANT ENOUGH TO BE MEASURABLE AND SUPPORTABLE.**

The extent to which space is to be functionalized is dependent upon the extent it is accurate, material and supportable. Not all functional use can be measured; some estimating of percentage of use will be necessary. However, activities, which occur rarely or only incidentally to the overall activities, duties, purposes, or functions of the people occupying the space, are not necessary to report. Examples include fundraising done incidentally by faculty/administrators, a student's occasional use of laboratory space to do personal homework, or space used by a specific function committee which may meet only semiannually. These Instructions attempt to define all recognized activities (in federal government terms), but you are not obligated to report every nuance. The goal is supportable material accuracy.

## **IV. Coding the Data: Definitions and Guidelines (cont.)**

## Types of Space Codes

In updating the Space Inventory, there are a number of data fields for each room for which information must be provided. Three data fields are the focus of these Instructions. The remaining data fields are identified and discussed in iSpace Reference Manual.

The three elements discussed in greater detail in these Instructions are:

- |  |  |  |
|--|--|--|
| <ul style="list-style-type: none"> <li>(1) Room Type Code</li> <li>(2) Function Code</li> <li>(3) Percentage of Use</li> </ul> | <div style="border-left: 1px solid black; border-top: 1px solid black; border-bottom: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> | <p>These categories together comprise space functionalization.</p> |
|--|--|--|

## Room Type Codes

The first step in coding space is to determine the correct Room Type Code. It is important to focus on this first step because “Unassignable Areas” do not require a Function Code (discussed later in these Instructions) while the other types of space do require further coding. Each room can be generally described as one of the following types of space.

### A. UNASSIGNABLE AREAS

Unassignable areas (Room Type Codes 010 – 079) are those portions of a building that are not available for assignment to building occupants, but are necessary for general building operation. By definition, unassignable areas consist exclusively of general circulation, public restrooms, and custodial, mechanical, and structural space.

### B. TEMPORARILY UNASSIGNABLE AREAS

Temporarily Unassignable areas (Room Type Codes 080 – 089) are those portions of a building that are either (1) unfinished or unusable or (2) under alteration (including space awaiting renovation).

- (1) Space unfinished or unusable for **3 consecutive months or less** should be coded appropriately for each proportion of time: unfinished/unusable (Function Code “X”) and its other use(s).
- (2) Space under alteration for **3 consecutive months or less** should be coded (room type and function) based on one of the following criteria.
  - (a) If the post-renovation functional coding is known, the space should be coded based on the projected use.
  - (b) If the post-renovation functional coding is not known, the space should maintain the coding as reported prior to the renovation.

If the space was temporarily unassignable for **longer than 3 consecutive months**, it should be coded to the appropriate room type and Function Code “X”.

## IV. Coding the Data: Definitions and Guidelines (cont.)

### Room Type Codes (cont.)

#### C. ASSIGNABLE AREAS

Assignable areas (Room Type Codes 100 – 989) are those portions of a building that are available for assignment to building occupants. If the space changed room type during the year, the space should be coded appropriately for each proportion of time. This situation is discussed in greater detail in the “Recording Multiple Room Type and/or Department Codes” section on page 37.

The Room Type Code is a 3-digit numerical code that corresponds to a description for each type of room (e.g., seminar room, class lab, office-faculty). Each room must be assigned a Room Type Code. See **Appendix A (Listing of Room Type Codes)** for the complete list of codes and corresponding descriptions of the following Room Type Code categories:

Room Type Classification Ranges	
Descriptions	Codes
<b>Unassignable Areas</b>	010 – 079
<b>Temporarily Unassignable Areas</b>	080 – 089
<b>Assignable Areas:</b>	
Classrooms	100 – 199
Class Laboratories	200 – 249
Non-Class Laboratories	250 – 255
Special Lab Support	256 – 269
Offices	300 – 399
Library Facilities	400 – 499
Special Use Facilities	500 – 599
General Use Facilities	600 – 699
Support Facilities	700 – 799
Health Care Facilities	800 – 899
Residential Facilities	900 – 989

Clearly, rooms of the same or similar physical characteristics can be used for a variety of purposes. The physical characteristics of an office, a small conference room, a seminar room, and even a dormitory room are very similar, if not identical; it is the use of the room that is the distinguishing factor. Therefore, respondents should consider the principal or primary purpose of a space when choosing the appropriate Room Type Code.

## IV. Coding the Data: Definitions and Guidelines (cont.)

### Function Codes

Functional coding of all rooms (assignable and temporarily unassignable) is a key part of the University's compliance with federal requirements. These Function Codes designate how space is used. **Function Codes are only required for space with a Room Type Code of 082 or greater.** Respondents should note that in iSpace and on the Inventory datasheets this data field is shown as "Functional Use Code." The following is a list of all activities and the corresponding Function Code.

#### A. Academic Space

- (1) Instruction – "I"
- (2) Departmental Research – "L"
- (3) Organized Research – "R"
- (4) Other Institutional Activities – "C"
- (5) Specialized Service Facility – "F"
- (6) Patient Care – "P"
- (7) Departmental Administration – "A"
- (8) Student Administration & Services – "S"

#### B. Central Support Space

- (1) General & Administrative – "G"
- (2) Sponsored Projects Administration – "Q"
- (3) University Libraries – "U"
- (4) Operation & Maintenance – "M"

#### C. Auxiliaries, Hospital & Non-Stanford Entities Space

- (1) Auxiliaries, Hospital & Non-Stanford Entities – "N"
- (2) Dormitories and Housing & Dining Services – "D"

#### D. Inactive or Temporarily Unassignable Space

- (1) Inactive – "E"
- (2) Temporarily Unassignable – "X"

## IV. Coding the Data: Definitions and Guidelines (cont.)

### Function Codes (cont.)

It is important to remember when determining function coding that federal regulations require space coding and the accounting for the direct costs of Organized Research to be related. This means that **space should be coded in a manner consistent with the activities taking place in the room**. The space coding, therefore, should **not** be based on the salary funding of the person(s) occupying the space and/or the intended use of the space. (See an example on the next page.)

To illustrate this concept:

A research lab used 100% for Dr. Smith's NIH-funded research. The sole occupant of the lab is a Research Assistant (RA) who receives part of his salary from the NIH-funded grant and the remainder from a department fellowship. Per discussions with Dr. Smith and the RA, it is determined that while in the lab the RA's activities were all in support of the sponsored project and as such, are 100% Organized Research. In this example, the occupant's split salary funding is not an accurate reflection of this room's activity, and the functional coding of this room should be 100% OR.

The determination of room function is an integral step in updating your department's space inventory. After you become familiar with the definitions of the applicable function codes, several methods may be employed to determine each room's function code and corresponding percentage of use. Any documentation used to code your department's space, including interview notes, should be retained.

- (1) General knowledge of the activities performed in the room
- (2) Interview(s) with the room occupant(s)  
For example, Research Assistants and/or Teaching Assistants (TA) who use space in your department should be interviewed to determine the appropriate functional coding and percentage of use for the space used.
- (3) Interview(s) with the most knowledgeable person
- (4) Use logs, staff rosters, room assignment lists, etc.
- (5) Analysis of revenue (**for selected service centers** or labs that charge to use their facilities, e.g., Stanford Nanofabrication Facility). **See page 35 for a detailed discussion of functional coding for service centers.**

## IV. Coding the Data: Definitions and Guidelines (cont.)

### Function Codes (cont.)

The additional examples that follow illustrate the conceptual relationship between space coding and the sources of project funding:

#### Example 1 - Lab with 2 sources of funding:

A laboratory room is used solely for research and is funded 80% by an external sponsor(s) and 20% by the department operating budget.

If the operating budget portion **supports the sponsored research activities:**

1. **during** the active sponsored project's period of performance, the room should be coded 100% to Organized Research.
2. **before** or **after** the active sponsored project's period of performance (except for cost overruns), the room should be coded **100% to** Departmental Research (DR) for unsponsored period of time.

If the operating budget portion **does NOT support the sponsored research** (it is for activities that are unrelated to any sponsored projects), the room should be coded 80% to OR and 20% to DR.

#### Example 2 - Looking at the activities in the room:

A laboratory room is used for a sponsored research project. Is the room 100% OR? No. Why? The Principal Investigator (PI), a technician, and two graduate RAs occupy the room. The PI also teaches, but the PI's presence in the lab is to perform the research, not to grade papers, which the PI commonly does in his or her office. The RAs and technician are present to perform research for the PI. So far, so good...

However, any non-research activity, if it occurs, should also be reported by function in the room coding. For example, the RAs use the lab for their classroom-related teaching activities because they were not assigned a carrel or other office space in the department. Thus a portion of the room would have to be coded to Instruction, even though the funding of the room is all through the sponsored project.

As with all functional reporting, this use of space must be a measurable amount (occurring with some regularity rather than sporadically) in order to estimate a percentage of use.

The space coordinator should keep independently verifiable documentation as to how the coding was determined in the event that an additional review or audit is required of any particular space. **See Appendix C for detailed guidance on documentation.**

[This page is intentionally blank.]

## V. Function Code (FuncUse) Definitions

### A. ACADEMIC SPACE

The Academic areas are those in which the major activities of the University occur, specifically, instruction and research, as well as various supporting activities. By extension, one can view all other areas (G&A, Housing, O&M, etc.) as facilitating Stanford's academic functions.

#### 1. Instruction: Function Code I

Instruction space is used for **the teaching and training activities of an institution**. Instruction includes all teaching and training activities whether they are offered for credits toward a degree or certificate or on a non-credit basis, and whether they are offered through regular academic departments or separate divisions (such as a summer program or extension program). **Instruction, therefore, includes time spent by a graduate student working on their dissertation in University space (including lab space).**

Administrative time expended in support of Instruction responsibilities, such as grading papers, constitutes time spent on Instruction. The exception is when the activities occur in office space (Room Type Codes 300 – 399); office space in academic departments is coded to Departmental Administration (see FuncUse A, page 27).

**FAQ: What about PROPOSAL WRITING (OCCURRING IN NON-OFFICE SPACE)?**

Proposal writing is OIA if it is to obtain a gift; proposal writing is Departmental Administration if it is to acquire a grant or contract.

**Instruction also includes Sponsored Instruction and training activities and Other Sponsored Activities, which are externally sponsored** (see below).

**Instruction thus encompasses the following:**

- . General instruction
- . Summer Session instruction
- . Continuing Studies instruction (including SoM Continuing Medical Educ)
- . Residential Education program
- . Center for Professional Development
- . SoM Residency Programs oversight and administration
- . Sponsored Instruction and training (see below)
- . Other Sponsored Activities (see below)

- (a) Sponsored Instruction and training (SI) means specific instructional or training grant activity (excluding “Research Training Grants”, see FuncUse R, page 22) funded by an external sponsor such as the federal, state or local government or a commercial or non-profit agency. (All research training activity, including that sponsored by a grant, should be coded as OR.)

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 1. Instruction: Function Code I (cont.)

- (b) Other Sponsored Activities (OSA) means programs and projects funded by federal and non-federal agencies and organizations for activities other than research or training (which are included in OR or SI, respectively). Included in this category are travel grants, conferences, public service projects, health service programs, exhibits, or similar projects.

Examples of OSA include:

- . CCRMA – Computer Music
- . Center for Biomedical Ethics
- . California Arts Council

#### 2. Departmental Research: Function Code L

Departmental research (DR) space is used for research, development and scholarly activities that are neither Sponsored Research nor competitively awarded University Research (both reported as Organized Research)<sup>3</sup>. This research may be funded by unrestricted operating budget, gifts by donors or affiliate funds (i.e., any funds except an externally-funded sponsored grant, contract or cooperative agreement, or internally-funded, University-sponsored project).

Departmental Research includes:

- **on-going independent research unrelated to any Organized Research activities,**
- non-competitive “seed monies” provided by schools or departments to initiate research that might later become sponsored, and
- interim periods of research occurring between active sponsored funding projects, except for cost overruns.

<sup>3</sup> See also Stanford's policy on "Classification of Sponsored, University, and Departmental Research" for specific explanations and differences among these types of research. This policy is contained in the Research Policy Handbook available on-line through Folio and Portfolio. This policy has also been included in these Instructions as Appendix G.

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 2. Departmental Research: Function Code L (cont.)

DR is **NOT** either of the following:

- **Cost sharing** which may be the same activity but differs from DR in that cost sharing occurs during the active sponsored funding period and is specifically committed on sponsored project budgets. (In contrast to cost sharing, DR includes support for a research/development/scholarly activity that does not have current sponsored funding<sup>4</sup>.)
- Funding by the University to cover **cost overruns** of externally sponsored research and development projects.

Please note that cost sharing and cost overruns should be reported as Organized Research.

Please see the discussion of Organized Research in these Instructions for further distinctions.

### Function Codes (cont.)

#### 3. Organized Research: Function Code R

**Organized Research (OR)** space is used for research and development activity that is **either Sponsored Research or University Research** as defined in Stanford's policy on "Classification of Sponsored, University, and Departmental Research."

**Sponsored Research** formal research funded by a grant, contract or cooperative agreement with federal and/or non-federal sponsors.

One form of cooperative agreement is called a Research Participation Agreement (RPA). An RPA is a form of sponsored project in which services of University personnel, academic facilities, and/or laboratory equipment are employed on behalf of parties not otherwise affiliated with the University as faculty, staff or students. An RPA is different from other forms of sponsored research projects in that a significant portion of the responsibility for the intellectual direction, interpretation and/or outcome of the work rest with the outside user.

Sponsored research also includes "Research Training Grant" activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities.

<sup>4</sup> See also Stanford's policy on "Cost Sharing" for an expanded explanation of cost sharing. This policy is contained in the [Research Policy Handbook](#) available on-line through Folio and Portfolio.

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 3. Organized Research: Function Code R

**University Research**, which is discussed in detail in the research policy (included as Appendix H), is a research activity supported by one of the following:

- (a) Committed cost sharing expenditures (direct costs only) that directly support externally sponsored research and development awards.
- (b) Funding that is derived from institutional funds (e.g., gifts, endowment income, interest income, technology licensing income, operating budget) through a competitive application and award process, and when the research activity has two or more characteristics similar to an externally sponsored research award such as:
  - 1. A defined work statement.
  - 2. A line item budget detailing expenditures by activity, function and project period.
  - 3. A specific commitment regarding deliverables and the level of personnel effort.
  - 4. A formal report or response that summarized results or conclusions.
- (c) University funding used to cover cost overruns of externally sponsored research and development projects.

**It is important to note the distinction between Organized Research and Departmental Research. It is the activities occurring that determine whether a space should be coded to Organized Research or Departmental Research. The source of funding for the research project may help determine the coding: external funds are always Organized Research; internal funding may be Organized Research or Departmental Research based on additional criteria.**<sup>3,4</sup> (See page 21 for footnotes.)

For instance, if a professor performs research that is funded by the NIH and has a research assistant that is paid partially by the grant and partially by the department, but the activities in the lab are all performed in support of the sponsored project, the space related to that project would be coded to Organized Research.

**FAQ: PROPOSAL WRITING (OCCURRING IN NON-OFFICE SPACE) IS NOT OR**

Proposal writing is Departmental Administration if it is to acquire a grant or contract; proposal writing is OIA if it is to obtain a gift.

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 3. Organized Research: Function Code R (cont.)

**FAQ:** How do I code VISITING SCHOLARS?

If a visiting scholar is working (full- or part-time) on a Stanford research project or teaching, then the non-office space occupied should be assigned the appropriate percentage to all applicable function codes (OR, DR, or I). However, if a visiting scholar has come to the University with his/her own funding and has been provided non-office space as a courtesy, then the room occupied should be coded the appropriate percentage to Function Code "C" (OIA).

**FAQ:** How do I code EMERITUS FACULTY?

If an emeritus faculty is working (full- or part-time) on a Stanford research project or teaching, then the non-office space occupied should be assigned the appropriate percentage to all applicable function codes (OR, DR, or I). However, if an emeritus faculty has been provided non-office space as a courtesy, then the room occupied should be coded the appropriate percentage to Function Code "C" (OIA).

#### **When space used for administrative activities is coded to Organized Research:**

- Research participant's administrative time expended in support of Organized Research responsibilities, such as completing a quarterly report for a federal grant, constitutes time spent on Organized Research and the corresponding space should be coded to OR.
- Other administrative activities may be performed in support of research (for example: the accounting for grants and contracts, filling research positions and ordering materials). These activities may support one or more sponsored project(s); if you can identify the benefiting sponsored project(s), the corresponding space should be coded to Organized Research.

Note: coding the space used for these activities does not fall under the constraints for direct charging to projects under the University's "Charging for Administrative and Technical Expenses" policy.

When the administrative activities in support of OR are not performed at a quantifiable level, then the space should be coded Departmental Administration (see Section A.7 of these instructions).

Examples of areas where this activity may occur include:

- . Ginzton Laboratories
- . Hansen Experimental Physics Lab (HEPL)

Separate organizations established to perform administrative services for contracts and grants are Sponsored Projects Administration (see Section B.2 of these Instructions).

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 4. Other Institutional Activities: Function Code C

Other Institutional Activities (OIA) space is used for major activities of the University that the federal government will not allow to be charged directly or indirectly to contract and grants. Examples of OIA space include the following:

- Fundraising and income enhancement activities (investments), which include the following central University departments<sup>5</sup>:
  - Office of Development
  - Office of Technology Licensing
  - Stanford Management Company
  - Land, Buildings & Real Estate
- Faculty consulting time
- General public relations activities (inc. Govt & Community Relations)
- Alumni activities
- Student organization activities. Includes the space associated with student clubs, groups, and cultural/social organizations. This category does not include student organization facilities when they are used for instructional and/or educational purposes (e.g., the Law School Moot Court and the Law School Journal).
- Student activities (e.g., intramural sports, student unions, student publications)
- Theaters and auditoria (with the exception of those portions used for specific limited purposes)
- Museums and art galleries
- Memorial Church and other chapels
- Staff and Faculty Housing Programs (administration and housing)

Below are examples of commonly occurring situations of OIA within an academic department.

#### Example 1

#### OIA: FUNDRAISING

If non-office space is occupied by a person who solicits donations and arranges fundraising campaigns at the department, school or University level, then the room should be coded the appropriate percentage to Function Code "C" (OIA). Proposal writing is Departmental Administration if it is to acquire a grant or contract; proposal writing is OIA if it is to obtain a gift.

<sup>5</sup> Assignment of these departments' space for any allowable activities may be reclassified to General & Administrative (G&A) during the calculation of the indirect cost rate. (The appropriate portion of G&A would be based on an allowability calculation performed by CMA, which is the result of an analysis of activity reports submitted by each department's staff.) The resulting functional coding for the current fiscal year will be reclassified as necessary.

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 4. Other Institutional Activities: Function Code C (cont.)

##### **Example 2**

##### **OIA: VISITING SCHOLARS**

If a visiting scholar has come to the University with his/her own funding and has been provided non-office space as a courtesy, then the room occupied should be coded the appropriate percentage to Function Code "C" (OIA). However, if a visiting scholar is working (full- or part-time) on a Stanford project or teaching, then the room occupied should be assigned the appropriate percentage to all applicable function codes (OIA, DR, OR, I).

##### **Example 3**

##### **OIA: EMERITUS FACULTY**

If an emeritus faculty has been provided non-office space as a courtesy, then the room occupied should be coded the appropriate percentage to Function Code "C" (OIA). However, if an emeritus faculty is working (full- or part-time) on a Stanford project or teaching, then the room occupied should be assigned the appropriate percentage to all applicable function codes (OIA, DR, OR, I).

#### 5. Specialized Service Facility: Function Code F

OMB's A-21 defines "Specialized Service Facilities" (SSF) as "institutional services involving the use of highly complex or specialized facilities such as electronic computers, wind tunnels, and reactors...." Because the language in A-21 is not precise, the University has defined an SSF service center as one which meets all three of the following criteria.

- (a) The center must incur annual expenses of at least one million dollars.
- (b) The center must "materially" affect Stanford's Organized Research indirect cost rate ("materially" means by greater than one-tenth of a point).
- © The center's services must not be easily available from an outside vendor.

**Only the School of Medicine Division of Laboratory Animal Medicine's Veterinary Service Center (VSC) is a qualified SSF service center allowed to use this function code for their occupied space.**

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 6. Patient Care: Function Code P

**This function code is for use by the School of Medicine only.**

Patient Care activities are those associated with the diagnosis and treatment of patients, which are not related to Instruction, Departmental Research or Organized Research. Patient Care is **clinical and usually reimbursed** from a health-care provider. Space used for these activities is coded to Function Code P.

Space where **administrative time** is expended in support of Patient Care responsibilities should be coded to Patient Care. Examples of administrative activities include: reviewing charts or dictating patient letters; patient scheduling and billing; and preparation and review of clinic budgets. (If the administrator also performed administrative activities for the academic mission (e.g. instruction and research) , these should be coded to Departmental Administration).

Space used for all activities related to patient treatment in a **residency program**, e.g., interviews, reviewing charts, dictating patient letters, should also be coded as Patient Care. This does not include the faculty oversight and administration activities of the residency program (that is Instruction, see SII page19).

Please note that apparent care of patients (both inside and outside the School of Medicine) may be associated with an Organized Research project or a department-funded research project. That care related to human subjects should be coded OR (Function Code “R”) or DR (Function Code “L”) respectively, not Function Code “P” (Patient Care).

Space used for **clinical trials** should be coded based on the funding of the clinical trial. In many cases this funding, which is provided by a pharmaceutical company, should be coded OR (Function Code “R”).

Patient Care performed in the Student Infirmary is coded as “Student Administration and Services” (Function Code “S”).

#### 7. Departmental Administration: Function Code A

Departmental Administration (DA) occurs in **all** academic office space (Room Type Codes 300 – 399) and multiple-use rooms (e.g., stockrooms, department lounges) which service or provide support to academic school/department operations. This space is recognized as administrative or supporting service areas that benefit multiple departmental activities. **DA activities support more than one functional activity in the department in proportions that cannot be readily approximated.**

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 7. Departmental Administration: Function Code A (cont.)

**Currently, by policy definition, we are not surveying academic office space; All academic departments should code office space to 100% DA regardless of the activities taking place in the office space.** Thus, even if office space is used 100% in support of Organized Research, it should be coded as DA. During the calculation of the University's indirect cost rate, this space will be assigned to the other activities, e.g., Instruction, Organized Research, Student Services, based on each department's salary distribution to those activities.

{Exception: due to their budgeting methodology, the School of Medicine will still continue to code office space as Function Specific space.}

**If the space was Inactive or Temporarily Unassignable for any portion of the year**, DA may not be the appropriate functional code. See page 29 for detailed instructions on coding Inactive or Temporarily Unassignable space.

Examples of general service areas normally coded in whole or in part Departmental Administration include the following:

- . mail room (except department student mailboxes coded to Instruction)
- . food facilities (see additional discussion on page 33 of these Instructions)
- . lounge areas
- . merchandising space (e.g., vending machines)

#### **PROPOSAL WRITING (OCCURRING IN NON-OFFICE SPACE)**

Proposal writing is Departmental Administration if it is to acquire a grant or contract; proposal writing is OIA if it is to obtain a gift.

#### 8. Student Administration & Services: Function Code S

Student services space is used for those activities necessary to bring a student to the University, to maintain appropriate records, and to provide matriculation assistance while the student is working for his/her degree. This category includes the following activities both at the University and the school/department levels:

- (c) admissions
- (c) registration
- (c) student advising
- (d) career planning
- (e) health services/infirmery

Note, however, that this category does not include space used for student organizations. This space would be coded to OIA (discussed in that section).

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### B. CENTRAL SUPPORT SPACE

Central Support Space is used for General & Administrative activities and Operation & Maintenance activities, as well as other functions, which are discussed below.

##### 1. General & Administrative: Function Code G

General & Administrative space is used for the general executive and central administrative activities (G&A) which serve the entire institution. Examples of space that is coded to G&A include the following:

- (a) Various University offices, such as:
  - . Office of the President
  - . Office of Provost
  - . Vice Provost for Institutional Planning
  - . General Counsel
  - . Office of the CFO
  - . Faculty and Staff Services
  - . Procurement Department
  - . News Service/University Communications (partial)
  
- (b) General multi-purpose space, auditoriums and conference centers used by multiple departments across the University:

#### Auditoriums

Annenberg Auditorium  
 Campbell Rehearsal Hall  
 Cubberley Auditorium  
 Cypress Semiconductor Auditorium  
 Dinkelspiel Auditorium  
 Frost Amphitheatre  
 Kresge Auditorium  
 Memorial Auditorium  
 Munzer Auditorium (SoM)  
 Turing Auditorium

#### Conference Centers

Amy Blue Training Room  
 Bechtel Conference Center  
 Hartley Conference Center  
 Hughes Electronics Conference Ctr  
 Newhall Conference Room  
 Oak Conference Room  
 Wattis Conference Room  
 Willow Conference Room

Please note that this activity does not constitute time spent on Departmental Administration.

## V. Function Code Definitions (cont.)

**Function Codes  
(cont.)****2. Sponsored Projects Administration: Function Code Q**

Sponsored Projects Administration (SPA) space is limited by federal definition to specific campus units established to administer sponsored projects. Presently, the only departments that should code their space to SPA are:

- (a) ORA – Office of Sponsored Research including Grant and Contract Accounting, Engineering Research Administration (ERA), and Research Administration Group (RMG)
- (b) Dean of Research (portion only)
- (c) ORA – Cost and Management Analysis Group

SPA space is used for administrative support efforts related to the pre-award and post-award policies and processing of sponsored projects. For example: proposal processing, budget development, reports to the sponsor, and changes in terms and conditions. (Sponsored projects represent research and other activities performed in accordance with contracts and grants awarded by various sponsors - governmental agencies, corporations, and foundations.)

When these activities occur at the department level, the space associated with such activities should be reported as Departmental Administration. The exception would be for SPA activities that are chargeable to a specific contract or grant, in which case the space would be shown as OR.

**3. University Libraries: Function Code U**

This function code should only include space occupied by the separately organized libraries of the Stanford University Library System and the coordinate libraries.

- (a) University Libraries
  - Cecil H. Green Library
  - J. Henry Meyer Library
  - Research Branch Libraries:
    - Archive of Recorded Sound
    - Art & Architecture Library
    - Branner Earth Sciences Library
    - Cubberley Education Library
    - Engineering Library
    - Falconer Biology Library
    - Harold A. Miller Marine Biology Library
    - Jonsson Library of Government Documents
    - Map Collection (Mitchell)
    - Mathematical and Computer Science Library
    - Music Library
    - Physics Library

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 3. University Libraries: Function Code U (cont.)

- (a) University Libraries (cont.)
  - Special Collections (Green Library)
  - Stanford Auxiliary Library
  - Swain Chemistry & Chemical Engineering Library
- (b) Coordinate Libraries
  - Hoover Institution on War, Revolution, and Peace: Western Language Collection, East Asia Collection and Hoover Institution Archives
  - Jackson Business Library
  - Lane Medical Library
  - Robert Crown Law Library

All other libraries are departmental libraries. Departmental libraries should be coded to DA to reflect their multiple functional support to the departments that they service. If, however, you feel that this coding is inappropriate for your particular situation, please contact CMA. In all instances, departmental library space is Room Type Code 461.

#### 4. Operation & Maintenance: Function Code M

Operation and Maintenance (O&M) represents space devoted to the administration, supervision, operation, maintenance, preservation, and protection of the University's plant. Space associated with the following services is included.

- |                              |                                     |
|------------------------------|-------------------------------------|
| (a) Utilities                | (e) Environmental Health and Safety |
| (b) Fire Protection          | (f) Public Safety                   |
| (c) O&M Shops                | (g) Transportation Programs         |
| (d) Mail & Delivery Services | (h) Facilities Planning             |

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### C. AUXILIARIES, HOSPITAL AND NON-STANFORD ENTITIES SPACE

Auxiliaries, Hospital & Non-Stanford Entities (AHN) related space is used for activities that are not directly related to teaching, research, administration, or OIA. This category applies to auxiliary enterprises, Stanford Health Center and non-Stanford entities.

##### 1. Auxiliaries, Hospital and Non-Stanford Entities: Function Code N

All auxiliaries and non-Stanford entities should be coded to Function N. Examples of both auxiliaries and non-Stanford entities are shown below:

###### (a) Auxiliary Enterprises

- Alumni Association
- Bing Nursery School
- DAPER
- Highwire Press (Library)
- Media Solutions (Library)
- Overseas Centers
- Radio Station KZSU
- Residential Subdivision (& Residential Leaseholders)
- Schwab Residential Center
- Stanford in Washington
- University Press
- Video Group (News Service)
- Welch Road Apartments

###### (b) Non-Stanford Entities

- Bike Shop
- Bookstore
- Carnegie Institute
- Children's Center of the Stanford Community (Child Care)
- Faculty Club
- Howard Hughes Medical Institute (HHMI)
- Physicians for Social Responsibility
- Retail entities, e.g., Wells Fargo, Jamba Juice
- Schwab Residential Center
- Stanford Equestrian Center
- Stanford Historical Society
- U.S. Post Office

###### (c) Stanford Hospital & Clinics

- Includes Lucille Packard Children's Hospital

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### 2. Residence & Dining Services: Function Code D

This space is used for all activities encompassed by Residential and Dining Enterprises. Residential activities include student residences, dormitories and administrative functions, (including Housing Assignment Services). Dining activities encompass both residence dining and dining venues operated across the campus serving students and staff.

It does not, however, include space for the Residential Education program (Function Code "I") or any other space occupied by the Dean of Student Affairs Office, which should be coded to the appropriate function, which is commonly Student Services (Function Code "S").

Nor does this function include Staff and Faculty Housing, see Other Institutional Activities (Function Code "C").

### Function Codes (cont.)

#### D. UNASSIGNABLE SPACE

Unassignable space is portions of a building that are not available for assignment to building occupants, but are necessary for general building operation. By definition, unassignable areas consist exclusively of general circulation, public restrooms, and custodial, mechanical, and structural space.

##### 1. Unassignable Space: Function Code Z

This function code is used for all unassignable space in Room Type Codes less than 080.

### Function Codes (cont.)

#### E. SPECIAL USE SPACE

These function codes are assigned as needed to segregate special use space for indirect cost rate calculation purposes.

##### 1. Stanford Linear Accelerator (SLAC): Function Code O

This function code is used exclusively for space used in research at Geballe Laboratories for Advanced Materials (GLAM) for DOE contracts that are administered by SLAC and segregated for IDC rate calculations.

## V. Function Code Definitions (cont.)

### Function Codes (cont.)

#### F. **INACTIVE OR TEMPORARILY UNASSIGNABLE SPACE**

Inactive and Temporarily Unassignable space is not specific to any one area of the University and may be reported by all departments.

##### 1. **Inactive: Function Code E**

Inactive space is that which could be occupied but voluntarily is not for **longer than 3 consecutive months**. This space should continue to be assigned its normal Room Type Code (e.g., office, lab, classroom) but be functionalized as "E" (Inactive) space.

However, if the space was/will be inactive for **3 consecutive months or less**, the space should be coded based on one of the following criteria:

- (a) If the space was used prior to becoming inactive, the space should maintain the coding (room type and function) as reported prior to its inactive status. Example: a faculty office when he/she is on sabbatical and the space is off limits.
- (b) If the space was not used prior to becoming inactive, the space should be coded (room type and function) based on the projected use. (The projected use must be supportable.) Example: a student office in a new building, which was open during the fiscal year, will not be filled until the following quarter.

##### 2. **Temporarily Unassignable: Function Code X**

Temporarily Unassignable areas (Room Type Codes 080 - 089) are those portions of a building that are either (1) unfinished or unusable or (2) under alteration (including space awaiting renovation).

- (1) Space unfinished or unusable for **3 consecutive months or less** should be coded appropriately for each proportion of time: unfinished/unusable (Function Code "X") and its other use(s).
- (2) Space under alteration for **3 consecutive months or less** should be coded (room type and function) based on one of the following criteria.
  - (a) If the post-renovation functional coding is known, the space should be coded based on the projected use.
  - (b) If the post-renovation functional coding is not known, the space should maintain the coding as reported prior to the renovation.

If the space was/will be temporarily unassignable for **longer than 3 consecutive months**, it should be coded to the appropriate room type and Function Code "X".

[This page is blank.]

## VI. Specific Coding Issues

A variety of issues have: either generated questions in the past; or are new topics that have arisen as part of the current Space Inventory Instructions. These issues are discussed below.

**Academic  
Departments:  
All Office Space  
(Room Type  
Codes 300 - 399)**

**Academic Office Space (Room Type Codes 300 – 399)**

In order to ease the space inventory process and ensure the accuracy of the reporting of the activities that occur, all academic office space (Room Type Codes 300 - 399) must be coded to Departmental Administration (EXCEPT School of Medicine, see below). During the calculation of the University's indirect cost rate, this space will be assigned to the other activities, e.g., Instruction, Organized Research, Student Services, based on each department's salary distribution to those activities.

Due to their budgeting methodology, the School of Medicine will still continue to code office space as Function Specific space.

**Academic  
Departments:  
Function-Specific  
vs. Departmental  
Administration**

**Academic Non-Office Space**

Non-Office space should be coded according to how it is used functionally. Some space, by virtue of its location, is used in direct support of other specific use space. In such instances, this "support" space should be coded to the respective function being supported.

Location can sometimes be an indicator of who uses a space. In making a determination as to whether a support space should be coded to a specific function, consideration should be given not only to how the space is used but also to who customarily accesses it.

For instance, a building-wide storage room in a building used primarily for research is most likely used by people involved in research activities. So, in most situations, support facilities are used in a capacity similar to that of the space surrounding it. Storage areas that support a specific department should be functionally coded based on the activity for which the contents are/were used.

**Food Facilities Within Academic Buildings**

Facilities within academic buildings used for food preparation and service that are not operated by an outside entity are usually coded to Departmental Administration. These facilities exist to provide service to the various people engaged in or supporting the academic functions carried on in and around the buildings which house the food facilities.

By contrast, if a food facility is located within a department area that is exclusively research, and the food facility is accessed primarily by people in that department as an extension meeting area, then it should also be coded to research. The facility is function-specific in this case, rather than broadly supportive of multiple activities or functions.

## VI. Specific Coding Issues (cont.)

### Academic Departments (cont.)

#### Food Facilities (cont.)

Examples of food facilities that are operated by outside entities (coded to AHN), or run by Dining Services (coded to Student Services) include the following:

- Alway Building (Dean's Café)
- Arrillaga Alumni Center (The Café)
- Beckman (Bistro)
- Building 160 (Olives)
- Cantor Museum (Cool Café)
- CCSR (Luttiken's Café)
- Clark Center (Linx Cafeteria, Peet's Coffee)
- Education School (Cubberley Café)
- Electrical Engineering (Bytes Café)
- Fairchild (DNA Café)
- GSB (Arbuckle Café)
- Jordan Hall (The Thai Place)
- Crown Quadrangle (Law Café)
- Psychiatry Building (Psychiatry Garden)
- Terman Engineering (Ciao Café)
- Tressider Memorial (Union Square, Coho, Treehouse, Subway, Peet's)

In all cases, these food facilities **exclude any student lounge area**, see below.

#### Lounge Areas

Lounge areas usually will be coded to Departmental Administration because they are managed by an academic department and benefit the department's multiple functions as a whole. The use of lounge areas is not solely linked to the availability of food; lounges are often used late into the night, long after the food services close. These areas may provide food services (e.g., vending machines), but they also provide places frequented for study and for meetings related to instructional or research assignments. For example, the GSB lounge area was specifically designed to accommodate large groups of students engaged in group projects.

If the lounge area is function-specific, for example, surrounded by space coded to Organized Research and is used primarily by people engaged in that sponsored research, then the lounge area itself should also be coded to Organized Research. This is especially true when there are restrictions on consumption of food in the labs.

#### Departmental Libraries

This library space is used and maintained by the department only. The room is neither part of the Main University Library System nor one of the Coordinate Libraries. See discussion of the Library System on page 26. Departmental Libraries are most often coded as Departmental Administration.

## VI. Specific Coding Issues (cont.)

### Fundraising

Fundraising, whether located in the central Office of Development or located in a school (i.e., fundraising through department personnel who are specifically assigned fundraising activities) is unallowable per Circular A-21. Any non-office space occupied by individuals within an academic department whose function is to perform fundraising activities should be coded to OIA. See page 21 for a more detailed discussion of OIA and page 31 for a discussion of the appropriate level of use to report.

A distinction must be made as to what constitutes fundraising. Fundraising should not be confused with contract and grant development activities such as writing proposals (Departmental Administration), although both result in funds being awarded to the University. Fundraising means "organized" fundraising activities resulting in "gifts" and donations to the University. Fundraising includes financial campaigns, endowment drives, solicitation of gifts and bequests, and similar activities performed solely to raise capital or obtain contributions. These activities are performed primarily by personnel in the Office of Development and by selected individuals in certain schools (e.g., the School of Law, the School of Medicine, the Graduate School of Business, and the School of Engineering).

Reminder: All office space (Room Type Code 300 - 399) within an academic department is coded as Departmental Administration.

### Service Centers

Stanford University has several areas within departments which, based on the nature of their work, are service centers. The two categories of service centers are Academic and Administrative; the appropriate functional coding follows:

#### 1. Academic Service Centers

Depending upon its main users, academic service center space will usually be coded to Instruction, Organized Research, AHN, or occasionally Departmental Administration. In order to determine the appropriate Function Code and its percentage of use, perform the following steps.

- (1) Identify the room(s) (excluding office series, Room Type Codes 300 - 399) where the service center activity occurs.
- (2) Calculate the total square footage (ASF) occupied by the service center.
- (3) If the total from step 2 is greater than 2,000 ASF, an analysis of the service center's revenues **must** be performed. The percentage of revenues by activity, e.g., Instruction, Organized Research, AHN, of the total revenues will determine the percentage of use by Function Code for the space occupied.
- (4) If the total from step 2 is less than 2,000 ASF, you may code the room(s) identified in step 1 as 100% Departmental Administration [A(100)]. However, a revenue study is still the preferred methodology.

## VI. Specific Coding Issues (cont.)

### Service Centers (cont.)

#### 1. Academic Service Centers (cont.)

The academic service center category includes:

##### School of Earth Sciences

GES Stable Isotope Lab  
~~Inductively Coupled Plasma Analytical~~

##### School of Engineering

CDR CAD/Graphics Facility  
CSD Computer Facility  
EE Photocopy Service Center  
Gates Building Photocopy Center  
ME HTGL Lab Facility  
ME Thermosciences Shop  
ME HTGL Computer Facility

##### Ginzton Lab

Crystal Polishing Shop  
Microfab Lab  
Solid State Shop  
Student/Staff Machine Shop

##### School of H&S - Sciences

Biological Sciences Photocopy Ctr.  
Biological Sciences Stores  
Mudd Chemistry Liquid Nitrogen  
Chemistry NMRS Center  
Chemistry Print Shop  
Chemistry Stockroom (managed by Fisher)  
Mass Spectrometry  
Physics Photocopy Center  
Physics Varian Machine Shop  
Physics Stockroom

##### Geballe Laboratory for Advanced Materials (GLAM)

Focused Ion Beam  
Scanning Electron Microscope (SEM)  
Scanning Probe Microscope (SPM)  
Transmission Electron Microscope (TEM)  
X-ray Laboratory  
XPS Laboratory

## VI. Specific Coding Issues (cont.)

**Service Centers  
(cont.)****1. Academic Service Centers (cont.)****School of Medicine**

Bioinformatics Resource Center  
Cell Sciences Imaging Facility  
Data Coordinating Center  
Dept. of Medicine Xerox Center  
Dept. of Surgery FACScan  
~~Diagnostic Radiology Copy Center~~  
Functional Genomics Facility  
Fly Facility  
High Throughput Facility  
HIMC Human Immune Monitoring Center  
In-Vivo Imaging Facility  
Electron Microscope Facility  
Mouse Transgenic Research Facility  
MRSIC (Lucas Center)  
Protein & Nucleic Acid (PAN)  
SBF Nueroscience Lab  
Shared Fluorescence (FACS)  
Stanford Magnetic Resonance Lab (SMRL)  
~~Tissue Bank~~  
Visual Arts Services

~~Blood Center~~

## VI. Specific Coding Issues (cont.)

### Service Centers (cont.)

#### 2. Administrative Service Centers

Administrative level service center space will be coded to either G&A or O&M, depending upon its organizational affiliation. This category includes:

##### G&A (Function Code "G")

- ITS – Shared Services
- CRC – Computer Resource Consulting
- Technology Training
- Facilities Procurement
- 
- Public Events (the Ticket Office) should functionally code their space based on the previous indirect cost study's allowability calculation performed by CMA<sup>6</sup>. The functional coding for the current fiscal year will be reclassified as necessary based on the updated allowability analysis performed by CMA.

##### O&M (Function Code "M")

- Operation & Maintenance Shops, including Grounds
- Labor/Event Services
- Capital Planning & Management
- Planning and University Architect
- Utilities
- Facilities Procurement

---

<sup>6</sup> This allowability calculation is based on an analysis of activity reports submitted by the public affairs staff.

## VI. Specific Coding Issues (cont.)

### Recording Multiple Room Type &/or Dept. Codes

Over the course of the fiscal year a single room may have been used by more than one department and/or for more than one purpose (as defined by a Room Type Code). For major room usage changes affecting the Room Type Code iSpace allows multiple Time Period Allocations during the year. When the Room Type changes, a new Time Period Allocation must be created and the current allocation closed. To simplify complex coding involving multiple departments, the process of "Room Sharing" has been incorporated into iSpace.

#### 1. Time Period Allocations

When the Room Type changes, a new Time Period Allocation must be created and the current allocation closed.

#### **Example 1**      **MULTIPLE ROOM TYPE CODES DURING THE YEAR**

Room 100 was used as follows during the fiscal year.

- (1) Fall Quarter - the room was used as an office for Post Doctoral student.
- (2) Winter Quarter - the room was under renovation and temporarily unassignable.
- (3) Spring and Summer Quarters - the room was used as a non-class lab where 90% of the activity was related to Departmental Research and 10% of the activity was related to Organized Research.

In order to record the multiple Room Type Codes that occurred during the year, Room 100 would be split into Time Period Allocations in iSPACE as follows.

- (1) Sept 1 to Jan 10: Room Type Code 366 (Office - Post Doctoral), 100% DA [A(100)].
- (2) Jan 11 to March 31: Room Type Code 082 (Under Alteration), 100% Temporarily Unassigned [X(100)].
- (3) April 1 to Present: Room Type Code 251 (Non-class Lab), 90% DR and 10% OR [L(90), R(10)].

## VI. Specific Coding Issues (cont.)

### 2. Room Sharing

"Room Sharing" involves reporting one physical room with multiple Department Codes or Primary Individuals (PI's) associated with the room during the fiscal year. The new system, iSpace allows for multiple departments with multiple PI's in any given Time Period Allocation. In addition, each PI may have multiple Function Codes. In all cases these multiple occupants/uses will be allocated their appropriate percentage of occupancy. All percentages must add to 100%.

#### Example 1

#### TWO OR MORE DEPARTMENTS SHARE SPACE

Department A and Department B "shared" Room 302 which is 100 square feet. Each department used 50% of the room. Functionally, Department A used the room solely for Organized Research (R) and Department B used the room solely for Instruction (I). The room would be entered in iSpace with 2 departments:

- Room 302: 50% Department A, 100% OR [R(100)]
- 50% Department B, 100% Instruction [I(100)].

### Changing Multiple Rooms For Same Reason

### 3. Global Changes

The following process should be applied **only** to a renovation that will last longer than one fiscal year when it starts/completes during a fiscal year.

If a department has an entire block of space that was taken out of or returned to service and thus temporarily unassigned for part of the year, the department should provide the following information to CMA so that the new Time Period Allocations can be created:

- (a) User department
- (b) Building number
- (c) Room numbers
- (d) Description of the space and how it was altered during the entire fiscal year
- (e) Time period that the space was taken out of or returned to service
- (f) Respondent's name, telephone extension and electronic mail address

***Based on this separate written notification, an adjustment will be made in iSpace by CMA/Maps&Records to account for the time the space was not in service.***