

GUIDELINES FOR DOCUMENTATION (Revised for FY14)

Background

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

Properly completed forms or PI email assist both your department staff and CMA in responding to the Government auditors, the Defense Contract Audit Agency (DCAA) during the audit of the Indirect Cost Rate Proposal by providing standardized, written documentation from the inventory year.

Documentation for Space Coded to Organized Research (OR)

The primary focus is on non-office space (labs and lab support, etc.) coded to OR; this space requires supporting documentation on the methodology used to determine the functional use(s) coded in iSpace. The best way of determining the functional use in the lab space is from an estimate made by the responsible PI on the activities in the lab.

In FY14 we will document the use of lab space as estimated by the responsible PIs through the use of the OR Documentation Form or a PI Email Interview. Written documentation is no longer optional—at a minimum, one OR Doc Form or PI Email is required for each PI with lab space coded to OR. The documentation should clarify the following:

- Which rooms the Primary Investigator (PI) was using.
- The PI's estimated Percentage of Use for each functional activity in the space
- What research was done, e.g., "Award #: xxxxx" or "Dr. Smith's NSF grant for..."
- If not the PI, the name of other person(s) familiar with how the space was used.
- If source other than the PI, how the Functional Use coding was determined.

A vital aspect of documentation for OR is identification of the research. You can use Award number(s), Sponsor, Title of research project(s), or other definitive description of the research. Reference can be made to the list of the Fiscal Year Sponsored Project Expenditures Report by PI available from Cost and Management Analysis (CMA).

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Primary Form: Organized Research (OR) Documentation Form

The OR Documentation form has been designed to standardize the collection/reporting of the information required to support the functional coding of OR in a room. **This form is used to document verbal communication with PIs about their activities** and to support research rooms coded to PI 'Shared' or to the department chair.

In addition, you can track the project numbers and participants, refer to supporting documents, add text stating how the coding decision was made and record the source of the data for determining functional use.

A blank form is provided in this appendix to copy and use.

Alternate Form: Primary Investigator Email Interview Guide

An alternative method for documenting the PIs use of their lab space is by email. The email guide explains the functional activities and requests the PI to estimate their level of effort for each use in their lab space.

The email guide is provided in this appendix. An electronic version will be emailed to you during the training cycle prior to the Space Inventory.

Additional Support Documentation to OR

The DCAA also accepts written documentation from the year of the inventory, including room assignments, use logs, interview notes.

This documentation could include the accumulation of information regularly created by the department that is available, such as room assignment rosters, graduate and teaching associate appointment sheets, etc. It is not always necessary to create new documentation; *often the supporting information already exists and simply needs to be organized in a document file and retained.*

Documents should be retained for three years after the calculated indirect cost rate is submitted, or until all litigation, claims or audit findings involving the records have been resolved. [OMB Circular A-110, Section 53(g)]. This would usually be three Space Inventory cycles.

iSpace Research Explanation Field for OR

iSpace contains a "Research Explanation" field attached to Function Code 'R' (Organized Research). It is a mandatory field that provides for entry of information related to how you are documenting the coding of this space. Either supporting information may be entered directly into this field, or a comment may refer to: where the supporting documentation is located, who has it, another associated room with the proper justification, or to completed OR Documentation Forms or PI emails.

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Documentation for Space Not Coded to Organized Research (OR)

The level of documentation detail depends on the situation. If the coding of a room is according to these instructions, routine or self-evident, documentation is not necessary. For example, the coding of a lecture room used by the Anatomy Department for Instruction does not need to be supported by detailed documentation. However, more complex situations may require some form of explanation to make clear to others why the space has been coded as shown in iSPACE. This may be space used by multiple departments, for multiple purposes or space changing regularly throughout the fiscal year.

For most space **NOT** coded to **OR**, using the iSpace mandatory data fields to record changes and the available "Comments" field to keep explanatory notes will suffice.

PI Email Interview Guide:

FY14 STANFORD UNIVERSITY SPACE INVENTORY – RESEARCH LAB ACTIVITIES

Dear Professor _____

We are currently preparing the Space Inventory for FY14 (9/1/13 to 8/31/14) as required by the University (Research Financial Compliance and Services Office). We need to understand what may have changed in the activities in your labs from the last Space Inventory conducted in FY12.

This email interview is in lieu of a face to face meeting.

Here is the list of rooms that our records show you are using:

We assume that your research projects are being conducted equally across your assigned lab and lab support space. However, **if you have any specific research projects taking place in a dedicated room/space, please list the location and project:**

Please estimate the level of effort (%) in your labs for the following FOUR ACTIVITIES:

- 1) **Sponsored research activities** pertaining to sponsored projects, committed cost sharing, University research awards, Research Participation Agreements, Research Training Grants. (These are research contracts that have deliverables.)
_____%
- 2) **Independent research activities** (also known as department research) encompasses any research activities unrelated to or not supporting your sponsored research projects. Usually funded by unrestricted funds, or gifts.
_____%
- 3) **Instructional activities**, such as regularly held classes, TA activities, summer research scholar program or grad student dissertation when the researcher is not working on a sponsored project. Does not include training in research techniques/equipment.
_____%
- 4) **Any other non-research activities** occurring at a measurable level (more than 3%). Please describe (e.g. patient care)
_____%

For your reference, here is a list of your current sponsored research expenditures:

June 2014

FY14 ORGANIZED RESEARCH (OR) - DOCUMENTATION FORM

(qd-bldg-flr-rm)

DEPT CODE:	ROOM TYPE:	ROOM(s):
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1) How were the function code(s) and percentage(s) determined?

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

2) What activities took place in this room during the twelve-month fiscal year (9/1/2013 - 8/31/2014)?

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

Time Period (if < full yr)	
Start Date	Stop Date

Responsible Person Interviewed: _____

Principal Investigator (if different): _____

Percent	Activity	PTA or AWARD	Notes/Research Participant(s)	Position
<u>Organized Research</u>				
1.	Project #1	_____	_____	_____
2.	Project #2	_____	_____	_____
3.	Project #3	_____	_____	_____
<u>Departmental Research</u>				
4.	Project #1	_____	_____	_____
5.	Project #2	_____	_____	_____
6.	Instruction (classes, dissertation)	_____	_____	_____
7.	Departmental Administration	_____	_____	_____
8.	Other Institutional Activities or Non-Stanford	_____	_____	_____
9.	Patient Care / Other (provide explanation)	_____	_____	_____

Notes: _____

Dept. Representative: _____ Date: _____

Position: _____ Phone No.: _____

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