Integrated Academic, Financial, Strategic and Facility Planning at Stanford University

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Kären N. Nagy, Executive Dean, School of Humanities and Sciences

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Washington, DC
Session Overview

• **Lessons Learned to Date** - from Stanford’s efforts to link academic, financial, strategic and facility planning
  – University-wide space planning guidelines
  – Space utilization studies

• **A brief look** at three cases using space guidelines and utilization studies
  – School of Education
  – School of Earth Sciences
  – Business Affairs Division

• **An in-depth look** at one case using a whole cost approach
  – School of Humanities and Sciences

• Questions and answers
Lessons Learned To Date
Lessons Learned to Date:
Space Planning Guidelines

What We’ll Cover

- How we developed space planning guidelines
- Our goals in the process
- Stanford’s general context as related to the guidelines
- How the guidelines turned out
- Questions/Food for thought
Lessons Learned to Date:
Space Planning Guidelines

❖ Our Goals in the Process

• To develop guidelines, not standards
• To promote key goals: 
  *Equity* - *Consistency* - *Efficiency* - *Flexibility*
• To keep the guidelines simple, practical, not overly formulaic, and focused on generic spaces
• To apply the guidelines both in new construction and renovation projects
• To learn from what has been successful already
• To continually update and improve the guidelines
Lessons Learned To Date:
Space Planning Guidelines

Stanford’s General Context

• 15 million gross square feet

• Growth constrained by a General Use Permit (2 million GSF allowed, numerous conditions of approval)

• Tight budget climate – high aspirations and lagging fundraising
Lessons Learned To Date:
Space Planning Guidelines

❖ How the Guidelines Turned Out

- Offices:
  Dean/VP
  Full-time faculty
  Visiting scholars, visiting faculty, and research associates
  Emeritus faculty
  Staff
  Students
- Classrooms, Computer Clusters, Conference Rooms
- Research and Laboratory Space

Lessons Learned To Date:
Space Planning Guidelines

Diagram of Faculty Office

13 ft

12 ft
Lessons Learned To Date:
Space Planning Guidelines

Diagram of Cubicle Environment
Lessons Learned To Date:
Space Planning Guidelines

Questions/Food for Thought

• How to provide incentives for following the guidelines?
• What to do in cases of “non compliance”?
• How to develop laboratory planning guidelines?
• How to continue to institutionalize the guidelines?
Lessons Learned To Date:
Utilization Studies

- Goals
- Process
- Questions/Food for Thought
Lessons Learned To Date:
Utilization Studies

Goals

• To determine how space is actually being used
• To enter utilization information into database, to be actively used by schools/areas in managing space
• To assess alignment with space planning guidelines
• To work with school/areas to improve utilization
Lessons Learned To Date:
Utilization Studies

Process

- Straightforward – walk-throughs of areas, taking notes on floor plans
- Entry of data into University-wide database, tailored to school needs
- Communication about results, questions, strategies, next steps
Lessons Learned To Date:
Utilization Studies
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Utilization Studies

Process

- Straightforward – walk-throughs of areas, taking notes on floor plans
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Lessons Learned To Date:
Utilization Studies

➢ Questions/Food for Thought

- Time-consuming and data intensive process – how to streamline?
- How to keep the studies updated?
- Value/utility of the process
Three Stanford Cases: A Brief Look
Three Stanford Cases
A Brief Look

- Three quite different kinds of schools/areas
  - School of Education
  - School of Earth Sciences
  - Business Affairs
- All were willing partners
- Each found surprising results
- Each has pursued changes as a result of findings
Three Stanford Cases
A Brief Look

School of Education

- Context:
  - Two buildings and one modular
  - 65,280 nasf, 46 faculty and about 380 graduate students
  - Mostly an office-based program
  - Study initiated at Provost’s request
• Major Findings:
  – Faculty office sizes were often too large, plus faculty have a custom of “handing down” offices
  – Storage is a school-wide issue, and there is no storage policy
  – Research projects ebb and flow, but are allowed to customize space so that flexibility is lost
• Changes since the study:
  – Dean has taken over determination of who gets which faculty office – oversized offices are being held as retirements occur
  – Other changes TBD
School of Earth Sciences

- **Context:**
  - Three buildings
  - 117,681 nasf
  - 46 faculty, 120 undergraduates and 280 graduate students
  - Offices and labs
  - New Dean worried about shortage of space requested the study
Three Stanford Cases:
School of Earth Sciences

• **Major Findings:**
  – Rock storage out of control! Too much stored and in key areas
  – Need to repurpose parts of buildings to “highest and best use”
  – Oversized faculty offices in one of the buildings
  – Student space not allocated equitably
Three Stanford Cases
A Brief Look

• Changes Since the Study:
  – Rocks catalogued, teaching collections only on site, others moved to off-site storage
  – Reorganization of student space
  – Lab study underway
  – School space policies being developed
Three Stanford Cases
A Brief Look

Business Affairs Division

- Context:
  - 26 locations
  - 183,149 nasf
  - Over 800 staff in 8 business units, mostly an office program
  - Cooperated with space study at Provost’s request
• **Major Findings:**
  - Over 10% vacancy rate overall, due to cut-backs, but vacancies were spread throughout the office locations
  - Many staff in substandard space on campus
  - Inconsistent allocation of offices versus cubicles
Three Stanford Cases
A Brief Look

• Changes since the study:
  – Consolidation of vacancies, so that two full modular buildings could be recovered for surge space
  – Improvement of staff spaces in key areas
  – New thinking about cubicle/office spaces
Cool Space Ideas
Themes in Common

- You need to have the space data to address space issues
- Having space guidelines in place is key
- Customs and historical precedents abound
- Strong leadership helps to promote change
In Depth Look at H&S
In Depth Look at H&S: Overview

530 on duty academic council faculty
400 adjunct teaching faculty
500 staff

28 academic departments
53 non-departmental programs, centers, etc

80% of Stanford undergraduate majors
50% of Stanford’s graduate students

Over 1,000,000 gsf in 60 buildings

Consolidated budget of $285M ($115M general funds; $75M grants & contracts; $95M gifts)
In Depth Look at H&S:
How “Planning” has worked in the past
In Depth Look at H&S: Whole Cost Exercise

Goals

- Conduct a thorough analysis of the drivers of the School’s budget (strategic directions, academic priorities, facilities)

- Develop an academically driven, rational resource allocation model allowing the School to align internal allocation with current academic programming realities and long term plans

- Create robust tools and models to fully cost additions of faculty, programs and facilities on an ongoing basis

- Involve the School more effectively in academic planning and related policy development through faculty and staff advisory groups
In Depth Look at H&S: Whole Cost Exercise

Phase 1 - Background, Methodology and Data

- Analyze historical data, including budget, student enrollments, numbers of faculty, grants & contracts volume, and facilities costs for each unit
- Define the major cost drivers
- Identify internal & external benchmarks to be used to develop planning models
- Role of data in decision making and budgeting - inform versus drive
### Department Profile: 2002-03 Academic/Fiscal Year

**School:** School of Humanities & Sciences  
**Area:** H&S-Soc Sciences  
**Department:** Psychology  
**1993 NRC Ranking**

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FY02-03 Average Social Sciences: Master’s & PhD Degree Granted Per On-Duty Faculty FTE

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FY02-03 Average Sciences: Master’s & PhD Degree Granted Per On-Duty Faculty FTE

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### FY99-FY03 Social Sciences: Graduate Applications & FY03 Enrollment

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### FY99-FY03 Sciences: Graduate Applications & FY03 Enrollment

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### FY99-FY03 DLCL: Graduate Applications & FY03 Enrollment

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In Depth Look at H&S: Whole Cost Exercise

- **Phase 2** – *Data Analysis and Model Development*
  - Establish academic planning assumptions and constraints – including number of faculty, graduate and undergraduate students, facilities limitations, fundraising goals, and base funding
  - Develop planning models
    - *Examples:*
      - Faculty exit and hiring models
      - Graduate student cohort and total student projections
      - Infrastructure support budget needs
      - Space needs and facilities budget requirements
  - Devise 10-year cost, fundraising, and funding model
  - Parallel work on School-wide space utilization study (to be described in more detail later)
In Depth Look at H&S: Whole Cost Exercise

Phase 2 – Data Analysis and Model Development

Applying Constraints:

- On-going base costs
  - Faculty salaries/benefits
  - Other teaching/benefits
  - Staff salaries/benefits
  - Graduate Aid
  - Facilities & operations
- Recurring one-time costs
  - Recruitments
  - Retentions
  - Governance
  - Facilities

\[ \text{Current} \quad \text{&} \quad \text{Evolving} \]
In Depth Look at H&S:
Whole Cost Exercise

- **Phase 3** - Development of Long-Range Plans
  - Evaluate strategies for allocation of resources in alignment with academic plan
  - Evaluate cost reduction or reallocation options
  - Move toward decision-making more tightly joined with financial constraints & opportunities
  - Create master space plan
In Depth Look at H&S: Space Utilization Study

- School-wide study in progress as described earlier, in partnership with Capital Planning group

- Distribution and discussion of space guidelines
  - Dean to Faculty Chairs
  - Executive Dean to Department & Program Administrators

- Central Quad completed first – historic buildings; little internal flexibility
  - Detailed building-level recommendations for better space utilization
  - Overall observations regarding efficiencies that might be gained
In Depth Look at H&S:
Space Utilization Study

Examples:

- Administrative staff members occupying private offices
- Many faculty offices larger than space guidelines
- Some faculty members have 2 or more offices
- Visitor/lecturer offices are frequently not shared
- Emeritii offices are frequently not shared and sometimes quite large
In Depth Look at H&S: Space Utilization Study

Examples: (cont)

- “Historic” departmental libraries are often not well used
- Varied classroom ownership obscures use information
- Standards are lacking for grad student space
- Specialized storage needs
In Depth Look at H&S:
Space Utilization Study

Library, Room 51A
In Depth Look at H&S: Space Utilization Study

Student Advisors Room

Student Course Associates Room
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History Storage, Room 301
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Emeritii Private Office

Oversized Faculty Office
In Depth Look at H&S:
Space Utilization Study

Administrator in Faculty-sized Office
Next Steps:

- Application of space guidelines related to H&S space management policies
- Alignment of department and program space planning efforts with academic needs and space guidelines
- Weave unit space needs and plans into a school-wide master plan; understand & communicate constraints
- Challenges of making it happen: historic buildings, costs, academic culture
- Getting a little help from our friends!
Questions and Comments