

## Facilities Project Initiation Policy (Form 1)

**SUMMARY** This statement describes University policy on initiating facilities and infrastructure projects that require a Form 1.

### POLICY STATEMENT

Requests for Stanford University campus and off-campus facilities and infrastructure projects as defined in this policy are required to be submitted via the on-line [Form 1 System](#) prior to the project's commencement. Form 1 applicability is comprehensive due to the potential implications, both internal and external to Stanford, on a wide range of jurisdictional matters.

The Form 1 request enables the review and approval of the following:

- Program priority
- Funding sources
- Land and space resources
- Staff resources

Additionally, information provided on the Form 1 enables Land, Buildings and Real Estate (LBRE) to:

- Track changes to university facilities and infrastructure
- Update University plans and records
- Coordinate construction activity within LBRE and to the campus community
- Ensure compliance with Stanford's [Project Delivery Process](#)
- Coordinate Stanford's overall communication and compliance with external jurisdictional agencies
- Determine whether Board of Trustees (BoT) approval is applicable

### APPLICABILITY

The Form 1 is required but not limited to the following types of projects regardless of size, cost or funding source:

- New construction, including construction or placement of temporary buildings intended for personnel occupancy
- Building infrastructure renewal and maintenance projects with budgets of \$50,000 or more, unless prior documented approval is received from Capital Accounting confirming that the project or project type is not a capital project
- Modifications to the exterior structure and/or changes in the configuration of interiors (such as removing and/or installing walls and other openings)
- Alterations to buildings 50 years or older, requires University Architect review and confirmation that Secretary of Interior's Standards (SIS) are followed per the General Use Permit (GUP)

- Building demolitions
- All capital projects as defined by [University policy](#) and administered by Capital Accounting
- Surge and relocation projects associated with a capital project
- Any increase or decrease to student bed count and/or square footage of buildings that affect the GUP
- ADA projects and changes that inhibit existing ADA functionality
- New air conditioning requests
- Any modification or addition that impacts campus parking and circulation
- Landscaping reconfigurations, such as converting hardscape to landscape, installation of statues, fountains and/or other ornamental landscape-related features
- Land use changes
- Changes in scope, funding sources or budget for existing projects already in the Form 1 system
- Projects undertaken and/or funded by the Capital Utilities Program (CUP debt), the Stanford Infrastructure Program (SIP), the General Use Permit (GUP) Entitlement Fee Program, the Capital Facilities Fund (CFF), the Facilities Reserve, and debt
- Studies that are anticipated to result in a project requiring a Form 1 and/or a non-BoT project that is managed by LBRE

The Form 1 applicability list is not exhaustive but is intended to capture a wide range of activities that are closely monitored by Stanford. In cases where ambiguity exists with respect to Form 1 applicability and/or capitalization rules, it is the responsibility of the project initiator to seek clarification.

**EXCLUSIONS** The following types of projects are exempted from the Form 1 process:

- Non-capital and/or BoT approved capital projects managed by Stanford Health Care and the SLAC National Accelerator Laboratory, unless University funding, facilities, land use changes or other resources are involved
- Commercial or residential ground leases
- Faculty staff housing rental purchases
- Maintenance projects that do not include a capitalized component, and do not qualify under any of the above criteria

### PROCESS/PROCEDURES

Prior to project work commencing, the [Form 1](#) must be initiated by the school/department and submitted for approval and routing as follows:

*School/Department:*

- Facilities representative submits the Form 1, after obtaining all appropriate school/department approvals, including the Dean or VP or

his/her designee. Then, LBRE/Capital Accounting management level routing can be initiated.

- ***Departmentally Managed Project (DMP) Requests:***  
Approval by the Dean or VP (or their designee) represents his/her knowledge and understanding of the project scope and budget, the [DMP Policy](#), and the school/department's compliance with associated Stanford University policies, procedures, guidelines and external agency regulations.

Note: For non-capital DMPs that are \$50,000 or greater and do not meet other Form 1 criteria, a school/department head (or designee) may request a written exception to the Form 1 process from the Controller's Office (Capital Accounting Director or designee) in advance of beginning the project.

**LBRE:**

- Finance - confirms all funding from University resources (e.g., debt, Facilities Reserve, SIP, GUP and the CFF).
- Capital Planning - approves the project for consistency with the Capital Plan (including GUP square footage).
- Project Management – with the exception of DMPs, approves the feasibility of the project with respect to budget and schedule, and assigns the LBRE project manager.

**Provost:**

- Approves projects \$3 million and greater. Approval represents the project's academic priority and allocation of University resources.

**Controller's Office:**

- Reviews Form 1 request for compliance with university capitalization policy and guidelines.
- Establishes a project account or incrementally funds and records budget adjustments to an existing project.
- Verifies that sufficient funding and authorization exists.
- Transfers funds to the project account, as specified in the Form 1 request.
- Determines appropriate debt funding source(s) to be used, if debt is involved.
- Determines the appropriate mechanism for funding project overages during project closeout.

## **BOARD OF TRUSTEES PROCESS AND FORM 1s**

The Form 1 initiates a project and documents approval up to certain limits. Projects that meet any one of the criteria below may ultimately require Board of Trustees approval before moving forward.

- Total project cost of \$10 million and above

- All projects that use or affect 5,000 or more new square feet within the academic growth boundary
- Changes in land use
- Projects with major exterior design changes

The President, Provost and/or the Vice President for LBRE may, at their discretion, choose to bring forward a project to the Board of Trustees at which point the Board process is implemented. The Board process dictates future approvals, including the requirement of a Funding Plan and Agreement.

**AUTHORITY** This policy is approved by the Provost.

**ADMINISTRATION**

LBRE is delegated by the Provost to administer this policy. LBRE's Department of Capital Planning administers the Form 1 process. Questions regarding the Form 1 process should be directed to the [Department of Capital Planning](#). Questions regarding capitalization should be directed to [Capital Accounting](#).