



Land, Buildings and Real Estate (LBRE) Facilities Project Initiation Policy (Form 1)

SUMMARY

This statement describes University policy on initiating facilities and infrastructure projects.

POLICY STATEMENT

All requests for Stanford University campus and off-campus academic facilities and infrastructure projects are required to be submitted electronically on a Form 1 prior to the project's commencement.

Investment, Hospital and Stanford Linear Accelerator Center projects typically do not require a Form 1 unless University funding or facilities are involved.

PURPOSE

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

- Program priority
- Funding sources
- Staff resources

Additionally, information provided on the Form 1 enables LBRE to:

- track changes to academic facilities and infrastructure;
- update plans and records;
- coordinate day-to-day work;
- comply with Stanford's Project Delivery Process, where applicable;
- coordinate Stanford's overall communication and compliance with jurisdictional agencies.

APPLICABILITY

The Form 1 is required for projects in the following categories, regardless of project size, cost or funding source:

- New construction, including construction of temporary buildings, modulars, trailers and storage containers;
- Building and/or interior space demolitions, including changes in the configuration of building interiors including wall demolitions and/or alterations, new doors, etc.;
- Building renovations - including mechanical or electrical alterations, code related changes, "in kind" system replacements and/or air conditioning requests;
- Changes in scope, funding sources or budget for existing projects already in the Form 1 system;
- Project feasibility, planning and cost estimating studies;
- Surge and relocation projects;
- Outdoor storage units or containers;
- ADA projects;
- Landscaping projects;
- Land use changes;
- Building exterior changes;
- Historical (those 50 years or older) building alterations;
- Capital Utilities Program (CUP) projects;
- Stanford Infrastructure Program (SIP) projects;
- General Use Permit (GUP) mitigation projects;
- Departmentally-Managed Projects (DMPs) – except for routine plant maintenance projects, as listed below.

The Form 1 is not required for routine plant maintenance projects that fall into the following categories:

- Interior painting;
- Replacement of carpet, furniture, fixtures and equipment;
- Replacement in-kind of building maintenance systems;
- Routine networking projects;
- General building and grounds maintenance.

A general rule of thumb is that projects requiring a jurisdictional permit and plan check generally will require a Form 1. Projects requiring only over the counter permits may not require a Form 1.

PROCESS/PROCEDURES

Prior to project work commencing, the Form 1 must be initiated electronically on the LBRE website by the School/Department and submitted for approval and routing as follows:

School/Department:

- Facilities representative submits the Form 1 on-line via the LBRE website before the project begins, after obtaining all appropriate School/Department approvals.
- The Dean or VP of the department (or approved delegate) must approve all Form 1s as part of the school/department routing process before LBRE/Controller's Office management level routing can be initiated.
- **Departmentally-Managed Projects (DMP's):**
The LBRE VP and the LBRE AVP of Academic Projects are not routed Form 1s for DMP projects. The Dean or VP of the department's approval represents that they are aware of and in compliance with Stanford University policies and external rules and regulations.

LBRE:

- Finance - confirms and approves all funding (e.g. debt, Facilities Reserve, SIP, GUP and the Capital Facilities Fund).
- Capital Planning - approves the project for consistency with the Capital Plan (including GUP square footage).
- Project Management - approves the feasibility of the project within cost and timing estimates as documented by the AVP of Academic Projects and/or the VP.

As part of the approval process, LBRE makes staffing assignments for project management. Schools/ Departments may request a particular Project Manager and/or request to manage the project as a DMP (see DMP Guidelines for more details).

Provost:

- Provost – approves projects greater than \$3 million. Approval represents project's academic priority and allocation of University resources.

Controller's Office:

- Controller's Office – establishes a project account for each project or incrementally funds an existing project, after verifying that sufficient funding exists to support the project.

BOARD OF TRUSTEE PROCESS AND FORM 1s

The Form 1 initiates a project and documents approval up to certain limits. Projects meeting 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 of LBRE may, at their discretion, choose to bring forward a project to the Board of Trustees.

Once a project is under the review of the Board of Trustees, it no longer requires additional Form 1s. The Board process dictates future approvals. Funding Plans and Agreements document approved funding sources, square footage and GUP Fees among other items.

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 about this policy should be directed to the Department of Capital Planning.