

SECTION 2-5: PLANNING AND PROGRAMMING DOCUMENTS

2-5-00	Policy
10	(Reserved)
20	Guidance and Information
30	(Reserved)

2-5-00 POLICY

This section describes HHS policies and guidelines to be followed by HHS OPDIVs in determining the requirements for and the development, submission, and approval of the planning and programming documents for construction projects and major improvement projects (whether they be the traditional design-bid-build or design-build facility delivery system), and for the acquisition of facilities under lease agreements. The purpose of Planning and Programming documents is to describe the required performance outcomes that are needed to design the facility.

Programming is the process of project definition where project goals are established; projects needs are determined; project facts are analyzed; and project concepts are tested all resulting in project problem statements. The programming process involves the following considerations: function, form, economy and time.

Project goals are the customers and users expectations and the programming is a cooperative process emphasizing customer/user decision-making. Project needs are the projects requirements such as space, power, utilities, etc. Project facts are site constraints, site potentials, regulations that affect the project, etc. Project concepts are functional relationships, adjacency requirements, etc. Programming is finding out what the whole problem is and is the basis for a more comprehensive solution. The whole problem covers a wide range of factors that influence design.

A. DOCUMENT DEVELOPMENT

1. The planning and programming documents should be developed to meet two distinct purposes. Initially, the documents serve as a mechanism for obtaining approval for the project and its scope, for identifying potential environmental impacts, for developing a cost estimate for inclusion in the HHS budget, and as a basis for the development of the HHS Facility Project Approval Agreement (FPAA). Second, once the project is approved and funds are appropriated, the documents become part of a design contract document that defines the Government's program needs to enable an Architectural/Engineering (A/E) firm to estimate design fees and negotiate a contract for the design. The boundaries established in the planning and programming documents serve as a deterrent to unnecessary modifications and increases in the scope of approved projects. Planning and programming documents also serve as the basis for a lease in the Solicitation for Offers (SFO).
2. Planning and programming documents must be approved by the OPDIV head or his/her designee before design services are solicited for all construction projects, and for those major improvement projects to existing facilities involving changes in program functions, operations or facilities uses or leases. Improvement projects estimated to cost \$1,000,000 or more require planning and programming documents. Some smaller improvement projects also require documentation based on related changes in program functions or new facilities use. All projects require environmental review and environmental reviews are not to be waived.

The OPDIVs may start A/E acquisition concurrently, provided funds are available. A/E contract award shall not be made until the final planning and programming documents are approved, and incorporated into the A/E's scope of work.

3. Planning and programming documents must also be approved when an OPDIV proposes to obtain space by leasing a facility designed and constructed to its requirements, i.e., build-lease or lease-purchase or the leasing of a structure requiring major alterations. Such projects also require environmental review.
4. When contracted out, A/E firms chosen for the planning and programming documents development should not participate directly or indirectly (as a subcontractor) in the eventual solicitation for design services to avoid an organizational or consultant conflict of interest.

B. ROLES AND RESPONSIBILITIES

1. The DAS, OFMP has overall responsibility for establishing and implementing planning and programming policy and guidelines. The Division of Planning and Construction, OFMP, is designated as the coordinating point for these activities within OS. OFMP may require the submission of final planning and programming documents as part of the HHS B&F budget process documentation.
2. The head of each HHS OPDIV is responsible for the development of the documents for those facilities under his/her OPDIV jurisdiction, for ensuring the sufficiency of the document to meet the policy and guidelines established in this section, and for approving the final planning and programming documents. OPDIV heads are encouraged to designate an OPDIV facilities management coordinator to ensure this compliance. OPDIV heads may also re-delegate authority for compliance with environmental requirements. Planning and Programming documents must be signed off by the customer and the OPDIV Facility Director.

2-5-20 GUIDANCE AND INFORMATION

CONTENTS OF PLANNING AND PROGRAMMATIC DOCUMENT

The following is to be considered a guideline for development of the planning and programming documents. The documents should consist of and address all of the issues listed and any special requirements or features needed for the particular project involved. In addition to the following requirements, OPDIVs are free to provide any other background information and data that further explains the project and assists the A/E in the development of the design. These general requirements may be adjusted or changed to meet the requirements of the projected facility. Statutory requirements (e.g., environmental reviews) may not be omitted.

1. Introduction	
2. General Overview	
a. Background	b. Staffing and Organizational Structure
i. Program Mission	i. Organization Chart
ii. Existing Facilities	ii. Staff Summary
iii. Need for the Proposed Project	
3. Site	
a. Site Description	c. Site Potential
b. Site Constraints	
4. Space Descriptions	
a. Activity Analysis	c. Space Descriptions
b. Programmatic Objectives	d. Space Schedule
5. Functional Relationships	
6. Design Standards	
a. Applicable Federal Regulations	d. Applicable Local Building Codes
b. Applicable Departmental Regulations	e. Utility Company Regulations
c. Applicable OPDIV Regulations	f. Industry Standards
7. Design Criteria and Recommendations	
a. Civil	g. Plumbing
b. Sustainable Design	h. Electrical
c. Architectural	i. Communications
d. Interior Design	j. Miscellaneous
e. Structural	i. Security
f. HVAC	ii. Safety
	iii. Operations and Maintenance
8. Budget	
a. Facility Cost Estimate	b. Related Cost Estimate
i. Land Acquisition	i. Special Studies
ii. Design	ii. Pre-project Planning
iii. Construction	iii. Activation (Including Moving)
iv. Equipment	iv. Special Purpose Equipment
	v. Other
9. Schedule	
a. Design	c. Activation
b. Construction	
10. Sign-off	
a. Customer	b. OPDIV

