

**STATE OF COLORADO
DEPARTMENT OF PERSONELL & ADMINISTRATION
OFFICE OF THE STATE ARCHITECT
STATEWIDE PLANNING PROGRAM**



**FY 2017-18 *FACILITY PROGRAM PLAN* SUBMITTAL GUIDELINES AND INSTRUCTIONS
FOR STATE AGENCIES**

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(For institutions of higher education refer to Colorado Department of Higher Education planning guidelines for preparation and submittal requirements for Facilities Program Plans)

1.0 STATUTORY AUTHORITY

- 1.1 **C.R.S. 2-3-1304.6**, was modified in part through SB15-270, stating that *“It is declared to be the policy of the general assembly (Capital Development Committee) not to acquire a capital asset or authorize or initiate any program or activity requiring capital construction, except programs or activities for controlled maintenance or capital renewal, for any state agency or state institution of higher education unless the program or activity is an element of the facilities program plan for the agency or institution and such facilities program plan has been approved by the state architect as set forth in section 24-30-1311, C.R.S., or by the Colorado commission on higher education as set forth in section 23-1-106, C.R.S.”*
- 1.2 **C.R.S. 24-1-136.5 (2)**, was modified in part through SB15-270, stating that *“The executive director (heads of principal departments) shall review facilities master planning and facilities program planning for all capital construction, controlled maintenance, and capital renewal projects on department real property, regardless of the source of funds and shall submit for approval all such facilities master plans and facilities program plans to the Office of the State Architect for approval”.*
- 1.3 **C.R.S. 24-30-1303(t)(I)**, was modified in part through SB15-270, adding the responsibility to the Office of the State Architect (Office) to *“Make recommendations on capital construction and capital renewal project requests made by each state agency after the requests have been reviewed by the Office as specified in C.R.S. 24-30.1311, and submit recommendations for the same to the Office of State Planning and Budgeting. The State Architect may not recommend capital construction project requests if such projects are not included in the state agency’s facility program plan that is approved as required in section 24-30-1311, unless the State Architect determines that there exists a sound reason why the requested project is not included in the facility program plan.”*

- 1.4 **C.R.S. 24-30-1311(3)(a)**, was created through Senate Bill *SB15-270*, establishing the duties and powers of the Office of the State Architect (Office) with respect to capital construction and long-range planning. The section states *“Each state agency shall forward Operational Master Plans, Facilities Master Plans and Facilities Program Plans, and Five-Year Plans to the Office. The Office shall review Operational Master Plans, and approve the Facilities Master Plans, Facilities Program Plans, and Five-Year Plans described in section 24-1-136.5.”*
- 1.5 **C.R.S. 24-37-304(a)**, was modified in part through *SB15-270*, and continues to require the Office of State Planning and Budgeting to develop an annual plan for capital construction expenditures and adds, *“But the plan for capital construction expenditures must consider recommendations made by the Office for state agencies, and recommendations made by the Colorado Commission on Higher Education for state institutions of higher education.”*

2.0 **PROCESS OVERVIEW**

The legislation gives the Office the authority to prescribe uniform policies, procedures, and submittal requirements for Operational Master Plans, Facilities Master Plans, Facility Program Plans, five year plans and capital construction requests for state departments. These instructions & guidelines outline components to be included in the preparation of facility program plans and the criteria by which the Office will conduct facility program plan review and approval.

- 2.1 Given that the organization of every state agency’s facility needs in Colorado are unique, an overarching set of instruction & guidelines mandating how every Facility Program Plan (FPP) should be organized does not make sense in terms of achieving the best outcomes for each agency’s planning documents. Given this, these instructions & guidelines reflect the necessary elements and examples for this process to be successful, and should be followed in organization, content and format as closely as possible.

The framework for a state agency’s growth and development is provided in the Facilities Master Plan (FMP) and preceding Operational Master Plan (OMP) as developed by the agency. In addition, Facility Program Plans (FPP) allow for the implementation of specific capital projects that have been identified in the FMP. Programming for an FPP requires an analysis of existing and projected data and the application of planning criteria to establish the amounts and types of space needed by a department/program or specific function of an agency. Generally, a FPP should provide justification for the project based on existing conditions and current as well as projected space needs, existing long-range planning and an analysis of program and facility alternatives and costs.

The FPP should also establish room specifications, spatial relationships and special design requirements based on program and facility needs in order to guide the project into the design phase.

Additionally, while professional program planning consultants will certainly be helpful in the development of a FPP, these services may not be entirely necessary for certain types of projects if technical staff with expertise in the subject matter is available. State statute directs that architectural/engineering plans must be consistent with OSA approved FPP's. The Office will coordinate comparisons between Facility Program Plans and capital construction requests.

- 2.2 Going forward, the Office requires that all state agencies conduct FPP's as the basis to justify future requests for capital construction funding over \$500,000 and submit an 8 1/2" x 11" formatted copy of those plans as described below along with all capital construction funding requests exceeding that amount. In the interim for state agencies that do not have approved FPP's to justify capital construction requests, the Office will review existing planning documents as they are developed for the basis of justification of need. FPP's may be submitted for approval throughout the fiscal year and may be submitted for approval along with the initial capital construction request. FPP's are approved at the agency level by the executive director and reviewed and approved by the OSA. Approved FPP's are valid for three years, after which time the FPP would need to be recertified. Within the three year timeframe, FPP's can be modified to accommodate program or funding changes. Consult with the Statewide Planning Program (SPP) staff regarding the development of planning documents or amendments to these instructions.

3.0 CONTENTS

The FPP submittal to the Office should consist of at a minimum, the four major parts including; Overview, Justification, Design and Implementation Criteria, and Appendices as described below:

3.1 Overview

This part includes an Executive Summary outlining the scope and justifications, descriptions of program(s) and relationship to the FMP.

3.1.1 Executive Summary

Provide a brief abstract of the project's scope, justification, relation to Operational Master Plan and Facilities Master Plan, future considerations, project cost, financing sources and proposed schedule.

3.1.2 Description of Program(s) related to the Facility

Provide a concise statement describing the program(s) related to or impacted by this FPP, including program objectives and any applicable accreditation/certification standards, etc.

3.1.3 Relation to Facilities Master Plan

The FPP is a required element of the facilities planning and capital construction processes in Colorado. The need for FPP's should be anticipated by state agencies with sound FMP's that relate to overall agency goals and strategic plans. Since FPP's are an essential piece of the facilities planning process, a plan should articulate a strong relationship between the facility being built or renovated to the FMP and any other interim long-range planning a state agency has undergone.

3.2 Justification

This part includes analysis of existing conditions, consideration of proposed changes to those conditions and the resulting benefits, the total space requirements, and facilities/programmatic alternatives considered by the state agency needed to meet the projected goals.

3.2.1 Existing Conditions

An analysis of how existing space accommodating programs are affected by proposed changes should be conducted in order to establish parameters for the change. A utilization study may be necessary to determine whether current space is adequate to meet the agency's goals in terms of sufficient size and capacity or if excess capacity exists. The plan should assess quality of existing space in terms of physical conditions and functionality.

Included in the existing conditions section should be a clear assessment of any facility operational problems, code, or health/life safety deficiencies. For program plans involving the renovation of existing facilities, this information should be coordinated with the Office of the State Architect Facility Condition Audit. Information on the Facility Audit Program is available online (See OSA website). If available, a recently updated facility audit report should be included with the program plan. If a recently updated facility audit is not available, a summary determining health, life safety and code issues should be included as part of the program plan.

3.2.2 Changes and Projections

In this section, agencies should identify any proposed changes to existing conditions that will affect programming in new or renovated facilities. Generally, projections should show annual client and FTE increases or decreases over a period of ten years into the future.

3.2.3 Total Space Requirements

Based on the analysis of existing conditions, proposed changes and projections, this section should apply planning criteria and space utilization guidelines to determine the number and types of spaces required and how they will be distributed to individual programs/activities etc., to calculate room areas. This analysis should then determine the total amounts of assignable square feet (asf) and gross square feet (gsf) that will be added or reconfigured by the project. For renovations, total asf and gsf figures should be provided for the current facility and the facility after project completion. Necessary building efficiency factors (asf/gsf) by building type can be determined from best practice or industry standard space utilization guidelines. This section also should identify the space required to accommodate specialized equipment.

After detailed space planning has been completed, summaries of space requirements, by program and by use category, should be included in the program plan. If significant deviations from the Facilities Master Plan occur as a result of this study, the Facilities Master Plan may need revision and re-approval. Consult with the Statewide Planning Program (SPP) staff in the development of planning documents and amendments to these instructions & guidelines.

The analysis should also include a statement of the intended facility improvements resulting from implementation of the Facility Program Plan.

3.2.4 Alternative Analysis

The program plan should summarize alternate facilities and program solutions considered, including (as appropriate) lease/rent, real property acquisition/disposition and new construction vs. renovation. Plans can also explain contingency plans for operating the program in the event that capital construction funds are not approved. The plans should explain why the selected project was chosen over alternative solutions including a discussion of alternative operating costs and space efficiency. Additionally, a life-cycle cost analysis is required to justify facility alternative cost analysis over the total projected life of the facility.

3.3 Design Criteria and Implementation

This part extends the space planning needs determined in the justification section to begin establishing specific project elements and design criteria, such as, spatial relationships, room specifications, site requirements, any unique features to the program and/or project, final program plan and project costs and financing methods.

3.3.1 Design Criteria

Include all requirements and standards impacting the design and construction of the proposed project including but not limited to; design

guidelines, security requirements, technology improvements, sustainability goals and objectives, code compliance and certification requirements.

3.3.2 Spatial Relationships and Room Specifications

Documents should include diagrammatic drawings or bubble-diagrams illustrating the interaction and working relationships between and among the different spaces. Organization of the proposed new spaces can be summarized by functional areas, spaces shared by different organizational units, and spaces that will be used exclusively by specific organizational units. Room specifications should be developed through consultations with the end users. Rooms should be specified by type, size in assignable square feet, function, and special equipment or facility needs, and relationship to other rooms in the facility.

3.3.3 Concept Design

This part should provide the following as applicable;

Building stacking diagram derived from gross square footage requirements, massing model and relationship to surrounding buildings and buildable area and height and conformance with applicable zoning guidelines and design standards.

Conceptual design drawings including but not limited to site plan, exterior building perspectives, floor plans, building elevations and building sections, as well as basic building mechanical, electrical and plumbing system one-line diagrams with capacities that impact the cost or design of the project, if necessary.

Narratives and graphics as necessary addressing: pedestrian/vehicular access and parking, topography, soils condition, surface and subsurface drainage, vegetation and utility infrastructure requirements and assessments, building systems option analysis including mechanical, electrical, plumbing, structural and technology requirements, code compliance, a description of design guidelines that the project will adhere to, sustainability goals and objectives including LEED Scorecard.

3.3.4 Project Schedule, Cost Estimate and Financial Analysis

These components of the plan are also a large portion of the budget documents (CC-C spreadsheet and support information) that must be submitted for every state agency capital construction project request. Detailed information on submitting completed CC-C information is available in the current year Office of the State Architect's Annual Capital Construction and Controlled Maintenance Project Request Submittal Instructions available on the OSA website. The information in this section of a facility program plan should directly correspond to the information presented in the CC-C spreadsheet and support information.

Further information can include: the project's relation to or dependence upon other current or future master plan designated capital improvement projects; the relative urgency for funding the project and the consequences of delaying the project; the construction management/project delivery method that impacts project phasing along with full disclosure of all planned phases of the project, overall project duration schedule and detailed cost estimate.

Additionally, this part should clearly describe the source(s) of funds intended to fund the project including capital construction appropriations, cash funds, bond proceeds, gifts or bequests, public/private partnerships or lease/purchase arrangements. For projects that are self-funded, revenue-bonded, lease-purchased, or lease-financed, provide a financial analysis, including interest rates, length of term(s), repayment schedule(s), and source(s) of repayment funds. The analysis also should include a discussion of the agencies/state's debt structure and the impact of this project on that structure. All capital budgeting documents should take into consideration inflationary costs of any project phasing and should articulate the methodology used in an effort to avoid future supplemental and budget adjustments. A suggested method would be for the agency to estimate when funding might be realized to the anticipated midpoint of construction and compound using a research based inflation factor to that date.

4.0 FORMAT/OUTLINE

The facility program plan document is to be organized, formatted and tabbed as per this outline so that information can be reviewed and understood in a logical order consistent with part 3.0 Contents above and all other agency submittals. The following outline shows the components necessary for an effective facility program plan. These components are not all applicable for all projects and certain agencies may need additional components to fully articulate their particular facilities needs. Consult with SPP staff in the development of planning documents and amendments to these instructions & guidelines.

4.1 Overview

- Executive summary
- Description of program(s) related to the Facility
- Relationship to Facilities Master Plan

4.2 Justification

- Existing Conditions
 - ✓ Utilization Study
 - ✓ Facility Condition Audit/Facility Condition Index
 - ✓ Health/Life Safety deficiencies
- Changes and Projections
 - ✓ Facility improvements
 - ✓ Client s and FTE's
- Total Space Requirements
 - ✓ Assignable vs. Gross Square Foot analysis by program
 - ✓ Program space summary and space by use summary.
- Alternatives analysis
 - ✓ Facility and program options
 - ✓ Life-Cycle Cost analysis
 - ✓ Alternatives or contingency plan if funding is not approved

4.3 Design Criteria and Implementation

- Design Criteria
 - ✓ Design guidelines and agency standards
 - ✓ Security requirements
 - ✓ Technology improvements
 - ✓ Sustainability goals and objectives
 - ✓ Detailed code compliance review of conceptual design
 - ✓ Certification requirements (including historic designation if applicable)
- Spatial relationships and room specifications
 - ✓ Diagrammatic plan drawings
 - ✓ Room requirements and specifications
- Concept design
 - ✓ Building stacking or massing diagram
 - ✓ Site plan improvements
 - ✓ Exterior building perspective(s)
 - ✓ Building elevations
 - ✓ Building sections
 - ✓ Basic building MEP systems one-line diagrams:
 - ✓ Narratives including but not limited to: parking, site accessibility, utility infrastructure, MEP and structural systems analysis, LEED Score Card
- Project Schedule, cost estimate and financial analysis
 - ✓ CC-C spreadsheet and support information coordination
 - ✓ Overall project duration schedule bar chart with milestones and commencement and completion dates.

- ✓ Project delivery method and proposed phasing defining scope of work, and funding requested per phase.
- ✓ Detailed cost estimate per the construction specification Institutes(CSI) sections and format
- ✓ Source of funds

This document can be found online at the OSA's website along with related documents:

Policies and Procedures for Facilities Long-Range Planning Process for State Agencies (Form OSA/SPP-FPLNG)

Operational Master Plan Submittal Instructions & guidelines for State Agencies Facilities (Form OSA/SPP-OMP)

Facilities Master Plan Submittal Instructions & guidelines for State Agencies (Form OSA/SPP-FMP)