

Chapter 4 – Submission Phase Guidelines

4.2 PROGRAM PHASE

4.2.1 PROGRAM REPORT TEMPLATE INSTRUCTIONS

- A. The Program Report generally sets forth the important aspects of the project – the project’s objective, space requirements, functional requirements, site considerations, architectural/engineering features, budget, and time constraints. The needs will usually be identified and defined by the Client, but sometimes the scope of the project will need to be developed by investigating the building site, interviewing the facility staff or program managers. The report should be a self-contained stand-alone document written, so people unfamiliar with the project (consultants, facility planners or other OGS designers) will be able to advance the work if necessary.
- B. For small or single discipline projects, the Program Report may be a [Professional Consultation Report or Study](#) that will focus on reporting the existing conditions and recommendations. See Chapter 4.1 for more information.
- C. The template is provided as a tool to prompt the Consultant/Designer to provide narratives on applicable issues. This tool should be modified to fit specific project requirements.
- D. The Program Template, [Program Checklist](#) and [Program Phase](#) are all complementary.
- E. Provide a Table of Contents if the Program Report is lengthy.
- F. When recommending scope of work, Consultant projects should use the pronoun “we” and NOT the firm’s name. Program Reports generally should include the firm’s name only on the report cover and in the orientation meeting.
- G. Run spellchecker and grammar check software tools before sending final Program Report for review.
- H. Use the standard OGS Program Report Template for all submissions.
 - 1. Consultant Designers use [Program Report Template](#) located on the OGS Web page.
 - 2. In-house Designers are to access the [Program Report Template](#) through DCNet.



**EXECUTIVE DEPARTMENT - OFFICE OF GENERAL SERVICES
DESIGN AND CONSTRUCTION - DIVISION OF DESIGN**

PROGRAM REPORT

PROJECT NO. *Project Number* (Date)
Project Name from BDC 153 or Approved Revision
Building Number from BDC 153. Delete line if not assigned
Facility Name
Facility City Address, NY

PROJECT INTENT

The Project Intent shall be included in all reports.

The project intent shall begin with a restatement of the Summary of the Work as provided by the Client on the BDC153 - Request for Services. Then follow with any scope adjustments the client requested during the development of the program, noting who made the request and when it was made. During the initial client contact and at subsequent meetings or discussions seek as much information as possible from the Client concerning expectations for the completed project. Changes requested by the facility staff, OGS field staff, or what the Designer intends to recommend should be placed in other sections of this report.

EXECUTIVE SUMMARY

The Executive Summary should be included in most reports (3) three pages or longer.

Before writing the Executive Summary compose the other parts of the report. The Executive Summary summarizes the report and includes the project scope, goals and objectives, significant findings and major recommendations. Pertinent information should be summarized and communicated to a non-technical audience. The summary should include estimates, and other special requirements such as schedule and options. Reports that are one to two pages do not require an executive summary.

PROJECT HISTORY

The Project History is an optional section if it is applicable to the project.

(This section is generally reserved for an overview of previous and/or current OGS projects which are directly related to the subject project. Coordinate with the OGS Project Manager for pertinent Project History information.)

The report should include the specific project history and background and any previous studies or program reports submitted to the Client or permitting agencies. The history may also include related ongoing projects or indicate that this scope of work is part of an ongoing Client program. Examples include DCS water tower, window replacement, shower renovation, fire alarm, and CCTV programs.

Provide all information pertinent to the project design including the articulation of all background and existing conditions relevant to the recommendations for the project. It might include the history of a building or facility or site, construction type, recent failure of a system, vacancy, fire/water or structural damage.

ORIENTATION MEETING / FIELD SURVEY

The Orientation Meeting should be included in ALL reports.

List all attendees by name and include project role.

Document changes to the intent resulting from the project meeting only if the appropriate authority authorizes them. Report all pertinent discussions.

Where possible make sure to involve the EIC at the project facility. Agency staff familiar with the facility can also help the Designer understand the building or system. Involving these individuals early in the project process will help them in completing program review and 100% Submission review comments.

FINDINGS

Findings shall be included in ALL reports.

Completely review work in the proposed area and become familiar with factors and restrictions which may affect the project. Invite OGS field staff to participate in the field investigation. Perform a detailed analysis of the project in order to identify all of its important or significant aspects. Identify and assess all site features that affect the ability and cost of using the site for the project including identification of every possible problem. Document when the project site was visited, what information was obtained, as well as any other field surveys authorized, requested and/or directed.

- *Sufficient field surveys shall be taken to identify issues that affect the proposed recommendations for the project.*
- *Field surveys shall be taken by persons with appropriate knowledge to assess issues that affect the recommended scope of work.*

- *During the field survey, the collection of information shall include, but not be limited to, information that can be gained in the following ways:*
 - a. *Looking above ceilings that are accessible without destruction of existing materials*
 - b. *Opening access doors*
 - c. *Entering pipe chases*
 - d. *Entering crawl spaces*
 - e. *Removing manhole covers*
 - f. *Accessing roof*
 - g. *Performing measurement*
 - h. *Label each finding consecutively as F1, F2, etc.*

RECOMMENDED SCOPE OF WORK

The Recommended Scope of Work shall be included in ALL reports.

Organize information obtained about the project site/building conditions or building program by trade discipline and organize by correlating recommendations to findings. For example, recommendation R1 correlates to finding F1, R2 correlates to F2, etc. If a finding does not have a related recommendation then the recommendation should state not applicable to keep the numbering system in alignment. Using this system allows the writer and reader to more easily follow the scope of work.

- *Describe architectural considerations include addressing building materials*
- *Describe engineering considerations include addressing the condition and adequacy of the mechanical and electrical systems to accommodate the addition and/or renovation*
- ***Describe appropriate energy and water conservation, sustainable design, EO88 considerations and LEED compliance***
- *Address Client Agency standards*
- *Address code related issues*
- *Address historic preservation issues.*
- *Include any anticipated impacts on the facility operations during project execution (e.g. restricted access, utility outages, security and safety, environmental issues such as noise, dust and odors) and recommended provisions to mitigate impacts (e.g. phasing, restricted work periods, barriers, extended work hours, etc.*

PROJECT BENCHMARKING:

Project Benchmarking is included only if applicable to the project.

This sub-section should be included if there is reference to similar projects, systems or components. Build on the previous component / system / building / project program, find out what worked, what didn't; and explain how this project will improve on the model. Most benchmarking should involve the client's participation to review good and bad features, lessons learned and adaptation to the specific project. The following are examples of benchmarking:

- a. *Review of similar building types.*

- b. *Review of similar building spaces that will be incorporated into the design such as dental suites, anterooms, control rooms, etc.*
- c. *Review of similar building systems such as fire protection systems, security systems, etc.*
- d. *Review of building components such as kitchen flooring finish, exterior window design, security finishes, etc.*

OPTIONS:

The Options section should be included if it is applicable to the project.

This sub-section should be included if there are budget constraints and the scope of services will need to be revised in order for the project to move ahead. Provide alternatives of different (improved) ways of solving the Clients stated objective. Provide options with estimates and use “value engineering” to suggest a less expensive solution.

CODE AND REGULATORY REQUIREMENTS:

This sub-section is included to highlight or summarize important code and regulatory items related to the project. This sub-section may include items from the Building Codes of New York State such as occupancy classification, type of alterations/levels, roof fire classification, NFPA, EO88 (including energy efficiency strategies), ADA, SEQR, SHPO, DOH and local municipality regulations,.

If more detailed code information or review is provided, it can be included as an appendix item in the report.

PHASING:

The Phasing section should be included if project phasing will be required.

KEY ISSUES AND ISSUES TO BE RESOLVED:

This sub-section should be used when the report may include any unresolved issues needing further investigation at the next phase of design.

Include assumptions presented in the report that will require further investigation:

- a. *Hazardous materials such as asbestos (prefer to have this issue resolved)*
- b. *Substrate conditions, such as walls, roof, and flooring based on non-destructive testing, probes or limited coring*
- c. *Underground utilities locations and verification*
- d. *Non-accessible spaces at time of field survey*
- e. *Geotechnical investigation (prefer to have this issue resolved)*
- f. *Temporary impacts of project work on facility operations*
 - *Utility shutdowns*
 - *Correction Officer coverage*
 - *Cell occupancy and down time*
 - *Kitchen functionality during renovation*
- g. *Undersides of coolers/freezers steel structural deterioration*
- h. *SHPO Archaeological/Historical significance*
- i. *Special permits (wetlands, right-of-way, etc.)*

CLIENT'S CONSTRUCTION ESTIMATE

Include this information if the client has provided it on the BDC 153 Request for Services form.

ESTIMATE

The Estimate shall be included in ALL reports.

Include separate trade estimates for projects with a total estimate value greater than \$50,000. Lump sum estimates combining all trades are not acceptable.

The estimate should include contingencies such as:

- a. *Design Development*
- b. *Construction Impacts: phasing, building occupancy, security*
- c. *Key issues and issues to be resolved. Clearly indicate whether or not costs associated with a key issue have been included in the estimate.*

This section should include the value of additional work items not specifically requested by the facility planner or facility, but which the designer feels should be included in the work.

Break out the cost of work items identified by the Client in the PROJECT INTENT that the Designer feels should not be addressed. These items should be explained in the RECOMMENDED SCOPE OF WORK and/or the OPTIONS portions of the report.

Round estimate to two significant digits. Consult with D&C Cost Control to establish the appropriate range of construction values to be presented in the report.

ESTIMATE of FEES for PROFESSIONAL SERVICES

The Estimate of Fees for Professional Services shall be included in ALL reports.



For the purposes of the program report the estimated fee should be taken from the DCNet project information screen. This fee estimate is based solely on the project’s construction estimate and can be modified by the Project Manager based on project specific information. The fee estimate should be taken from DCNet after the program estimate is updated to reflect the recommended scope. This section shall be inserted by the OGS Project Manager.

APPENDIX

The appendix should include the following:

- a. Estimate History sheet (BDC 178) including options and detail. The Team Leader should decide whether the estimate detail (BDC178.1) should be included in the report.

The appendix may include supportive information beneficial to the reader such as the following:

- b. Building Plans and Site Plans (new and/or existing)
- c. Existing Geotechnical Information (if information is critical to the project)
- d. Project Schedule / Milestones for the design and construction phases
- e. Photographs – existing conditions (if not included in the body of the program)
- f. Preliminary EO88 strategies when applicable to the project.
- g. LEED strategy / overview when LEED is part of the project scope
- h. Preliminary building code review
- i. Meeting minutes (when minutes strongly influence scope decision making / dynamics that are not readily definable in the program narrative)
- j. Previous Studies (when the program complements or adds to the previous study)

Note: Refer to [Program Report Checklist](#) and [Program Phase](#) narrative for further information.

Revision History:

Rev	Date	Description	Reviewed by:	Approved by:
0	10/18/2011	Last revised date		
1	08/05/13	Minor revisions	Parnett	Dostie
2	09/23/13	Minor revisions to project history	Melnick	Parnett
3	4/16/14	Deleted EO111 and replaced with EO88	Parnett	Parnett
4	8/22/14	Sequential and correlated numbering system of findings and recommendations	Parnett	Parnett
5	10/28/14	Minor revisions	Parnett	Parnett



6	12/11/14	Expanded Recommended Scope of Work and other minor revisions	Parnett	Parnett
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