GUIDE TO PREPARATION
OF THE PROGRAM STATEMENT

Division of State Facilities
Department of Administration

State of Wisconsin

December 30, 2009

GUIDE TO PREPARATION OF THE PROGRAM STATEMENT

TABLE OF CONTENTS

INTRODUCTION

A. Purpose and Need

These instructions have been written to assist agencies in preparing the document referred to as the "Program Statement" in the Manual on Capital Budget Preparation. They are intended to assist the agencies in providing appropriate capital project information in order to provide clear communications to those evaluating, approving and implementing capital projects. This should help accelerate the review process within the Department of Administration, Division of State Facilities (DSF) during the Capital Budget process and subsequently serve as a basis for defining a scope of professional services that will be required to design the project and to assist the project designer to move rapidly into design of the project.

B. Scope

A Program Statement provides information, which describes the scope of a proposed project in terms simple enough for a nonprofessional to understand and at the same time, provides detailed design data required by an architect. The Program Statement serves as a planning and evaluation document. It should include information that adequately describes the need and purpose of the project and the general design criteria and standards upon which the design will be based. The document should also provide the architect the technical data, primarily room data sheets, needed to proceed with designing the proposed scope. A Program Statement does not provide a justification for the project. The project justification is an element of the Project Request document, described in detail in the *Manual for Preparation of Capital Budget Requests*.

A well-prepared Program Statement accurately sets the facility or repair/replacement project's scope, budget and schedule. The Program Statement also provides the basis on which to determine A/E services and fees for the design and construction phases. The importance of a comprehensive, clearly written Program Statement to the overall success of the project cannot be overstated.

These guidelines provide a general framework for a Program Statement. While every project requires a Program Statement, the level of detail required will vary by the scope and complexity of the project. Smaller, less complicated repair/replacement projects do not require some of the elements described in the guidelines. For example, the sections describing occupants and activities and detailed room data sheets do not pertain to equipment repair or building component replacement projects. The guidelines provide notes on how to adapt the framework for these simpler projects. The majority of projects that construct new space or call for a complete renovation of space will require all of the elements described herein. For larger, more complex projects, following this guide may not provide a complete Program Statement. Nonetheless, the framework should be followed since it will provide a preliminary document that can be used to solicit the services of a design architect, commonly referred to as the *Request for AE Services*. For these larger projects, following the completion of the Program Statement / *Request for AE Services*, DSF will assist the agency in hiring an architect that can develop a comprehensive Program Statement. DSF has developed a detailed process guide for the development of a program for a major facility, which is

available at: **insert AE programming guide link here**. This document is a resource for architects hired to provide programming services and provides templates and other tools that can assist an agency in developing a Program Statement.

C. General Principles for Developing a Program Statement

Developing a Program Statement involves several steps. The process should begin by identifying the root problem or major deficiencies that the project will address. Next comes a review of the users' operational, programmatic, aesthetic and physical needs that will influence the design solution and the identification of the physical changes that can address the problems. The Program Statement summarizes and describes the operational, programmatic, aesthetic and physical solutions that address the root problem.

When preparing a Program Statement, assume the person reviewing it or using it for design purpose may not be familiar with your institution and the specific project being proposed. Help them see your project clearly through your written description. Your Program Statement should:

1) be specific -- make factual, precise statements; vague references, abbreviations and slang terms should be avoided.
2) be complete -- describe all aspects of the work proposed: occupancy requirements, security restrictions, timing etc. should be defined when critical.
3) be realistic -- space use and facility changes should reflect practical and economical solutions rather than idealized plans.
4) be comprehensive -- elaborate on how your request fits with present or required conditions; indicate how your request is compatible with institution/agency objectives and plans.
5) do not design --describe your needs in terms of space requirements, staff, clients, students, equipment, etc. don't prepare sketches, floor plans etc.

PROGRAM STATEMENT ELEMENTS

A. Introduction

A requesting agency should complete the format described in these instructions for all major and minor projects, including new construction as well as remodeling. The guidelines are developed in such fashion that they can be adapted to repair, maintenance, mechanical, and site development as well as building construction projects.

The outline of the contents of the Program Statement is shown in some detail so that the reader can visualize the total scope of the Program Requirements section. Following that is a discussion of each part of the contents with commentary on the general information to be included under each subject area. Where appropriate, an alternative simplified approach that can be used for repair, maintenance or site development projects is described.

B. Remodeling or Repair Projects

Generally, the information provided for new construction and remodeling projects will be similar. When a project proposes the remodeling of a facility, a Facility Evaluation Study will generally be required. The purpose of a Facility Evaluation Study, site evaluation, structural investigation, historic structures study and other reports is essentially the same: to define the "problem", to clarify the scope of proposed work, to determine feasibility, evaluate alternatives and estimate costs and make recommendations. For a major remodeling, this evaluation should usually occur prior to submission of a budget request. Consequently, the summary of the evaluation and its recommendations should be incorporated into the Program Statement as an appendix.

If an agency is unable or needs assistance in evaluating an existing facility for a particular use, DSF will assist in one of two ways:

1) DSF staff—DSF in-house expertise is available to state agencies in areas such as: architecture, structural, plumbing, HVAC and electrical engineering, telecommunications, historic preservation, exterior envelope, accessibility, asbestos abatement, energy use, cost estimating and specifications. Agencies may consult directly with the individuals listed by specialty in the DSF Contact List.
2) Private consultant—if DSF staff are unavailable or unable to conduct an evaluation, then DSF may hire a private consultant for a special study.

C. Schedule

The Program Statement should be submitted prior to or when a capital budget request is submitted. Except as previously noted, it is the intention that projects will not be included in the biennial state building program until there is substantive agreement between the agency and the Division of State Facilities on the Program Statement.

D. Program Statement Contents

Following is a typical outline of the contents of a Program Statement for a project program.

a. Title Sheet
b. Table of Contents
c. Background
d. Purpose and Scope of Project
e. Occupants and Activities
f. Space Tabulation
g. Site Development and Utility Services
h. Special Considerations (sustainability, zoning, WEPA, etc.)
i. Budget
j. Schedule
k. Appendix
    i. Room Data Sheets
    ii. Other Requirements
    iii. Movable, Fixed and Special Equipment
    iv. Facility Evaluation Study or other reports

a. Title Page

The document should be titled *Program Statement for "Name of Project"*. The title page shall contain the following information: location of project (building, institution and city), department, institution, date, name of agency representative for the project and an authorizing signature from the agency approving the Program Statement.

b. Table of Contents

The table of contents should contain all the elements in the Program Statement. When no information is included under the particular heading, enter N.A. "not applicable", in the table of contents and a brief explanation in the body of the document as to why it is not applicable.

c. Background

The background shall contain a brief history of the program development, stating how the user/agency or department mission or master plan fits into the program, describing the current facility deficiencies, the reasons for the deficiency and broadly defining the proposed remedy. If other alternative solutions were considered, briefly discuss them and identify why those proposals were rejected as the solution.

Note: For repair, maintenance and site development projects, the emphasis of this section will focus primarily on a description of existing physical conditions or existing physical deficiencies that justify the requested project. For example, if the project would provide additional boiler capacity this section should describe the existing number of boilers, their rated capacity, condition, fuel type, firm capacity of plant, energy requirements, fuel sources, description of normal load and peak loading situations. Any alternatives investigated other than adding a new boiler and other data, which might give the reader an understanding of the problem and the logic of providing the new boiler, should be included.

d. Purpose and Scope of Project; Major Relationships of Programs and Facilities

This section defines whom and what the project is for in general terms of aggregate populations and broad program areas. It should also discuss existing physical factors affecting the general planning and siting of the facilities. It should describe the essential components and major features of the project; their relationship to each other, to the institution and to the programs they intend to serve. The information should avoid discussion of particular design solutions but be specific about physical relationships and fixed requirements that are known or required as program elements. The programmer should take care to avoid adding information that could lead to pre-conceived design solutions. In other words, it should address the objectives of the project and any existing or potential problems rather than specific solutions.

A small-scale plan of the institution or building should be included here to assist the unfamiliar reader in visualizing approximate location, physical relationships, and scale.

If alternative sites have been considered but rejected, state their location and reason for rejection. Except in unusual circumstances, it is desirable that the site be established prior to finalization of the Program Statement and selection of the project designer.

Note: For repair, replacement and site development projects, because of the extensive information provided in the “Background” section, this portion may be excluded or significantly abbreviated. The general thrust of this section is this: "What is the project for?", "What -- in a general sense -- is included as part of the project and what relationship does it have to other parts of the institution or as part of a larger system?” If this material has not been fully covered under "Background", then it must be addressed under this section.

e. Occupants and Activities

This section should explain the activities of the people for whom facilities are being provided and the manner in which these activities are related. The programmer should choose a presentation technique that will best convey a picture of how the program and service activities will be carried out in relation to the facilities being requested. It is important to describe the users/occupants that will normally use, occupy or interact with the facility as well as any other constituents or staff who will manage, operate or whose activities will affect or be affected by the facility. Include significant characteristics of the above user-groups: numbers, age range, sex, physical disabilities, etc., as well as frequency and duration of use. Describe the relationships between activities and physical facilities and the interrelationship between activities and user-groups—spatially and functionally, particularly identifying critical adjacencies and circulation requirements. Describe any special design features, in general terms.

Additional guidance on how to complete this section of the Program Statement is available at: insert AE programming guide link here.

Note: If the project’s scope is the repair or replacement of existing building systems, or site development, this section may be excluded depending on the nature, extent, and complexity of the project. If the project is part of an electrical, steam or water distribution system or

addition of boiler or sewer capacity, the material covered in previous sections should be adequate. However, if the project is a parking lot, a campus mall or replacement of an air handling system, a description of the activities of the people who use that space and the way in which it would be used is important and should be described here.

f. Space Tabulation

This section should provide a tabulation of all assignable (usable) spaces, listing square footage and number of occupants for each assignable (usable) space. Include all non-assignable (common) areas, which perform a critical function (unusually large lobbies, toilets and/or locker rooms, main storage rooms, main custodial rooms, main telecommunications and electrical closets, etc.) Indicate any major special design features (unusual ceiling height, heavy floor loads, unusual lighting or air conditioning requirements, etc.) and the guideline or other basis for establishing its size. A sample *Room Data Sheet* is available in Section E. of this guide.

Note: For repair, maintenance and site development projects, this section generally would not be used. However, for projects such as air handling systems or provisions for air conditioning the rooms, their sizes and activities should be included. Other projects such as outdoor should carefully consider extensive development of this section for repair, maintenance and site development projects if it seems to describe the scope and purpose of the project in a manner that is better than the foregoing sections. If so, the foregoing sections would be minimized accordingly.

g. Site Development and Utility Services

This section should describe site, utility/infrastructure, transportation and existing facility conditions that could affect the scope, cost or timing of the project. Examples of issues that should be considered include:

1) Site / Existing Conditions
   a) Existing Land Use including issues that may affect Erosion Control requirements.
   b) Landholdings / Ownership / Boundaries
   c) Zoning (see Section 3.D.2 of the *DSF Policy and Procedure manual for A/E Consultants*)
   d) Floodplain restrictions
   e) Easements
   f) Future acquisitions
   g) Topography / drainage
   h) Vegetation / landscaping
   i) Subsurface conditions
   j) Remediation of hazardous materials
   k) Construction staging / occupancy of site during construction
   l) Historic artifacts

2) Utilities / Infrastructure
   a) Existing—capacity and condition of existing lines and equipment (including central plants)

b) Proposed: gas, water, electric, steam, chilled water, sanitary and storm sewers, communications
c) Maintaining utility services and infrastructure during construction

3) Transportation/Circulation
   a) Vehicular/bicycle/pedestrian
   b) Parking
   c) Service/Loading/Unloading
   d) Access to site (including during construction)
4) Existing Building Conditions
   a) Concealed conditions
   b) Condition of existing infrastructure and equipment
   c) Hazardous materials: asbestos / lead-based paint / soil contamination
   d) Current occupancy and occupancy during construction
   e) Possible opportunities for energy conservation and sustainable design

h. Special Considerations

This section should describe miscellaneous program elements that could affect the scope, cost or schedule of the project and have not previously been discussed. These include sustainability goals, WEPA, complying with ADA requirements, historic preservation goals, and similar significant items that are not appropriately located under other categories.

The Program Statement should identify any sustainable features or focuses that are important to agency operations. The program should also consider project goals that would lead to a low total cost of occupancy (TCO) – the annual operational and maintenance costs of the facility over its expected lifetime.

Under zoning the agency should state the existing zoning classification of the site, whether the proposed project is a conforming or non-conforming use and whether a conditional use permit, or rezoning is required. Indicate the estimated schedule for the actions, if required. Summarize major zoning requirements such as height, set back, bulk requirements and ancillary requirements such as parking.

This heading should also list the status of the project as it relates to the Wisconsin Environmental Protection Act (WEPA). When an agency first proposes a project ("an action"), it will categorize it as follows:

Type 1 Actions that always require an environmental impact study.

Type 2 Actions that may **or** may not require an EIS, depending on the significance of the action and on whether or not there are unresolved conflicts in the use of available resources; Type 2 actions must be further evaluated by preparing an environmental assessment.

Type 3 Actions that normally require neither an EA nor an EIS.

State if the project is Type 1, 2 or 3. If it is a Type 2, provide the schedule for the preparation of the environmental assessment; if classified as Type 1, provide the estimated date of completion of Preliminary Environmental Report. If classified as Type 3, explain reason for classification.

For more information, see *Policy and Procedure manual for A/E Consultants*.

This section is the appropriate place to identify how complying with the Americans with Disabilities Act (ADA) could impact the project scope and budget. Agencies should review and analyze their facilities to ascertain if they adequately accommodate persons with disabilities. Ensuring a barrier-free environment must be part of any requested facility remodeling or construction project and may require work beyond the planned scope of the project. Up to 20% of the architectural cost must be allocated to "path of travel" improvements, unless the facility is in full compliance with ADA. If the required path of travel improvements exceed 20% of the architectural cost of the altered area, and funding is not available to implement all the accessible improvements, then funding of at least 20% will be allocated to path of travel improvements based upon the priorities identified in the Americans with Disabilities Act. For additional information see DSF *Policy & Procedure Manual for A/Es*, section 3.D.4., this document can be accessed at: http://www.doa.state.wi.us/category.asp?linkcatid=639&linkid=60&locid=4

The State of Wisconsin, through WI Stats. section 13.48(1m) places responsibilities on state agencies and the Building Commission to preserve and restore historic state-owned properties. Significant historic structures should be viewed as candidates for rehabilitation instead of demolition if they can be preserved at a cost which does not exceed new construction, or the additional cost is reasonable in relation to the significance of the building. The impact of this requirement on project scope, budget and schedule should be discussed in this section. Please note, that each agency has a Historic Preservation Officer, who serves as the contact between that agency and the State Historical Society. Agencies may contact the Society to discuss possible impacts of planned projects on historic structures. Projects that require Society review of the impact must be brought to the attention of the Society no later than the concept stage (10% design) to allow time for review. Building Commission staff will work with the State Historical Society to review facility requests in light of their historical significance. Additional information regarding the preservation of state-owned historic structures may be obtained by contacting Commission staff. For additional information see DSF *Policy & Procedure Manual for A/Es*, section 3.D.3.

i. Budget

To prepare an estimated project budget follow the instructions presented in the DSF *Capital Budget Cost Estimating Guidelines*, which can be found at: **insert link here**.

A typical Budget summary should include the following:

Construction (include demolition, sitework)	$0
Contingency	$0
A/E Design and Other Fees	$0
DSF Fee	$0
Hazardous Material Abatement	$0
Movable Equipment	$0
Percent for Art (if applicable)	$0
Total	$0

Efficiency (ASF/GSF)	%
Construction Cost/GSF	$/GSF
Total Project Cost /GSF	$/GSF

j. Schedule

The first part lists all critical schedule dates. The schedule affects both the cost of the project and the date when it will be available to the user agency. The schedule should be developed carefully in order to allow adequate time for each phase of work; yet avoid increased costs by allowing more time than necessary. See the DSF *Capital Budget Cost Estimating Guidelines* for typical schedules.

The schedule should contain the following dates:

1) Program Statement Approval
2) A/E Selection
3) Design Report Approval by Building Commission
4) Bid Date
5) Construction Start
6) Substantial completion
7) Final Completion

Other dates significant to the users, such as authorization of planning funds, site selection or other issues that could affect project timing should be noted. This includes such items as:

a) Completion of a related project before the one under consideration can move ahead or be completed
b) Requirements for phasing construction or relocating occupants during construction
c) Fixed deadlines, such as court or code-mandated completion dates
d) Academic/athletic schedules or deadlines

An example of a special schedule concern is the addition of steam capacity to a heating plant prior to completion of a new facility.

k. Appendix

The appendix includes supplemental information (room data sheets, other requirements and equipment) and other documents that provide information about the history of the program and its development that could be useful as general background information to those involved in the approval and design process. Background documents can be attached either to the Program Statement or be provided as separate electronic files.

i. Room Data Sheets

The Room Data Sheet describes the specific characteristics of indoor and outdoor activity areas, rooms, parking lots, athletic fields or campus malls. It is not needed for repair, maintenance and site development projects such as upgrading of utility systems, or a roof replacement; other sections of the Program Statement usually adequately describe these

types of projects. When used for projects such as a site development the programmer may find it useful to customize the Room Data Sheet for elements such as landscaping, vehicular and pedestrian access. Other types of projects may suggest other additions to this basic form. The objective is to provide a thorough understanding of the use and physical requirements of the room/space/area so the project designer can work more effectively and more rapidly.

An example of a Room Data Sheet is included in Section E. of this guide.

Room Data Sheets can be combined when rooms have a similar function. For example, one Room Data Sheet can be used to describe all offices in a facility.

ii. Other Requirements

This section provides other technical data in narrative form that is general to the function or activities of the facility. It would include information such as signage, fire protection, trash handling, etc.

iii. Movable, Fixed and Special Equipment

The movable equipment list shall include for each room/space/area the type and quantity of movable equipment required for the programmed level of function of the room/space/area. The equipment list should also give the estimated cost of the equipment and list special mechanical or electrical services (i.e. 220V electrical service, air, oxygen, etc.) if they are required. The cost of the equipment should be shown by room and in total.

iv. Facility Evaluation Study or Other Background Reports

Include in this section the Facility Evaluation Study, if one was completed or other studies and reports that would provide project background.

E. Sample Room Data and Space Tabulation Sheets:

ROOM DATA SHEET OPTION 1:

PROJECT: MacKenzie Environmental Education Center, Poynette

INDIVIDUAL SPACE SUMMARY

Space Designation	: Overnight Quarters
REQUIREMENTS	
Number Required	: 10 Units (see "Other" below) (A unit is a group of 12 people two of whom are adult counselors whose area shall be separate)
Number of Occupants	: 12 / unit
Net Area	: 660 NSF/unit
Hours of use	: Night time almost entirely
Other	: No stipulation as to the number of buildings. Provide for 7 units minimally initially and 3 units later.
General Construction	: Reasonable durability against defacement. Finishes which facilitate cleaning.
HVAC	: Heating for year round occupancy. Minimal mechanical ventilation per code. No mechanical cooling.
Plumbing	: 2 water closets, 2 urinals, 2 lavatories and 2 shower heads per unit. *Custodial waste receptor, HW and CW.
Electrical & Lighting	: Minimum convenience outlets for housekeeping. Minimum lighting.
Communications & Audio Visual	: No telephones, no intercom, no A-V
Fixed Equipment	: None
Moveable Equipment	: Bunk beds
Special Features	: Lockable vestibule – mudroom with foul weather outer garment storage provisions. Guest closet space and luggage storage. *Housekeeping supplies storage.
Note	: * These facilities are to be located within the same building(s) and internally accessible to the sleeping and toilet areas they serve.
Relationship to other spaces	: Close proximity to other functions is not required.
ACTIVITY / FUNCTION	: Sleeping, dressing, bathing and toileting

ROOM DATA SHEET OPTION 2:

PROJECT NAME	MacKenzie Environmental Education Center	**RDS–OFFICE**	
DSF PROJECT NO.	10Z1A	**DATE:**	1/1/10
ROOM NAME		**ROOM NUMBER**	
ROOM TYPE	Sleeping quarters	ROOM SIZE (ASF)	660 ASF
ROOM USERS	12, two counselors and 10 campers	ROOM DIMENSIONS	
ADJACENCIES	Lavatory and mudroom/vestibule	HOURS USED	Night time
FUNCTION	Dormitory		
ARCHITECTURAL			
FLOORS & BASE MTL	Finishes to facilitate cleaning		
WALLS & STC			
CEILING MAT'L & HT			
DOOR SIZE & MAT'L		DOOR VISION PANEL	NA
DOOR HARDWARE			
NATURAL LIGHT		DAYLIGHT CONTROL	
FIXED CASEWORK	None		
SPECIAL			
PLUMBING			
SINKS	2 WC, 2 urinals, 2 lavatories and 2 shower in separate room.		
GASES / OTHER			
HVAC			
HEATING	Heating for year round occupancy		
COOLING	None		
VENTILATION	Per code		
ELECTRICAL			
POWER	Outlets for housekeeping		
LIGHTING	Minimal per code	LTG MOTION SENSOR	
SPECIAL			
FIRE ALARM/DET.			
COMMUNICATIONS			
VOICE (TELEPHONE)	None	AUDIO	None
DATA (COMPUTER)	None	SOUND SYSTEM	None
VIDEO	None	PA SYSTEM	None
CABLE TV	None	INTERCOM	None
CAMPUS CLOSE TV	NA	CLOCK	None
SECURITY			
DOOR CONTROL	Standard lock	KEYPD/PROX CD/REX	
INTRUSION DETECTION	None		
VIDEO SURVEILLANCE	None	INGEGRATION REQ'T	
AUDIO/VISUAL			
SCREENS	None	VIDEO PROJECTOR	None
OTHER	None		
ACOUSTICS			
DESCRIPTION	Per code	NC RATING	
MOVABLE EQMT			
TYPE & SIZE	Bunk beds	CONNECTIONS REQ'D	None

SPACE TABULATION OPTION 1:

For use when comparing existing to needed new space

STEP 1: Existing Space Calculations: (For renovation and/or new addition projects)
At the beginning of the Programming phase, i.e. during Data Collection, list all Existing Assignable Square Feet (ASF) and indicate appropriate Efficiency Factor to calculate existing Gross Square Feet.

STEP 2: Proposed Space Calculations:
After analysis of occupants/users and activities/functions, list all Proposed Assignable Square Feet and Non-Assignable Square Feet to determine proposed Gross Square Feet.

SPACE TABULATION:

ASSIGNABLE SPACE			**EXISTING**					**PROPOSED**				
Room No.	Room Type	Room/Space Name or Current Function	No. of Occ.	ASF per Occ.	ASF per Room	No. of Rms.	Total ASF	No. of Occ.	ASF Per Occ.	ASF Per Room	No. of Rms	Total ASF
	*1, *2											
TOTALS												

NON ASSIGNABLE SPACE					**EXISTING**					**PROPOSED**		
Room No.	Room Type	Room/Space Name or Current Function			SF Per Room	No. of Rms	Total NASF			SF Per Room	No. of Rms	Total NASF
		Ex: Large Lobby										
		Ex: Mechanical Room										
		Ex: Telecom Closet										
TOTALS												

	EXISTING					**PROPOSED**				
	No. of Occ.			No. of Rms	Total ASF +Total NASF = GSF	No. of Occ.			No. of Rms.	Total ASF +Total NASF = GSF
GRAND TOTAL										

EFFICIENCY FACTOR (E.F.) = ASF / GSF

SPACE TABULATION OPTION 2:

For proposed new space or remodeling of existing space.

Name	Occupants	ASF/ Occupant	Units	Total ASF
Department of Public Services				
Conference Room, Small	6	23	2	276
Conference Room, Medium	8-10	20	2	320
Conference Room, Large	10-15	31	1	312
Staging/Storage Room	-	-	1	409
Production Copy	-	-	1	434
Production Copy/Supplies	-	-	1	408
Kitchenette	-	-	1	407
Work Room	-	-	1	416
Secure Storage	-	-	1	439
Open File Areas	-	-	1	2,000
Staffed Reception	1	64	2	128
Waiting	1	10	3	30
Division Administrator	1	192	2	384
Bureau Director	1	144	5	720
Open Office, Section Chief	1	96	7	627
Open Office, Common	1	64	147	9,408
GRAND TOTAL ASF				16,718
Efficiency Ratio				65%
TOTAL GSF				25,720