

ORF GUIDANCE DOCUMENT (OGD) # 1526-DPPA-05

TITLE: POLICY FOR POR DEVELOPMENT, REVIEW & APPROVAL

Issuing Office: DIVISION OF POLICY AND PROGRAM ASSESSMENT

Issue Date: **Supercedes: N/A**

POLICY

In accordance with the Public Health Services (PHS) Facilities Manual, Chapter 2-4-10 which requires a Program of Requirements (POR) for construction projects under the following categories:

- New construction projects,
- Major improvement projects equal to or greater than \$1M (one million dollars),
- Renovations equal to or greater than \$3M (three million dollars),

NOTE:

- For projects meeting the above criteria the PO shall follow the procedure in (*QualTrax*) "C-400, POR Development, Review and Approval"
- For projects below these thresholds the PO shall follow the NIH pre-project checklist in *QualTrax* - "Pre-project Checklist"
- For the acquisition of facilities under lease agreement, the same criteria shall be applied as for owned facilities.

The PHS Facilities Manual, Section 2-1-20-B3 allows the use of operating funds for POR development and other studies necessary to establish the project scope and funding requirements except where Building and Facilities (B&F) funds have been specifically allocated under the appropriation for such a purpose.

A. Introduction

The POR defines the scope and cost of a project. The POR is normally used in conjunction with the Statement of Work when issuing a Request for Proposal (RFP) and/or the solicitation for offers for A/E or Design Build Services. A POR applies to both NIH owned and leased facilities over the established dollar amount as defined in the DHHS Manual and this policy.

Prior to the development of the POR and in conjunction with ORF divisions and Regional Managers, the PO orchestrates the planning and development steps of one or more of the following studies:

1. Feasibility Study
2. Program Development Study
3. Other relevant documents (e.g. Environmental checklist, PDRI, life cycle cost analysis)

The POR details the *required performance outcome* of the facility and it is generally divided into two parts:

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- *Functional Statement* which provides a narrative review and justification of the program and,
- *Design Criteria* which includes facility requirements, associated budget, requirements and measurable milestones.

The POR development process is a partnership between the ORF, Office of Research Services (ORS) and customer, with the ORF PO taking the lead. There should be a free flow of ideas and information between the customer and ORF. The customer must be involved in the entire process and approve the final POR.

B. Purpose

This policy establishes specific minimum project requirements and provides general guidance to NIH staff member(s) and others who are involved in the preparation of POR and resulting construction.

C. Responsibilities

As a basis for obtaining funds, the Institute/Center (IC), NIH leadership or ORF shall initiate the request for a facility and its inclusion in the NIH Building and Space Plan through the Division of Facilities Planning (DFP), ORF.

The development of the POR (for a project considered for B&F funding), is initiated by the Division of Capital Project Management (DCPM) or Division of Property (DPM), ORF. Once the need for a POR has been identified, the respective ORF Division Director is responsible for assigning a Project Officer (PO) to lead this effort.

ORF PO

- Leads and coordinates POR development effort based on pre-POR feasibility and program development studies.
- Obtains & assembles the **Planning Team** and **POR Review Team**
- Establishes and publishes milestones with projected schedule, review intervals and timeframes for completing the POR.

POR Review Team - consists of IC (*User Group*) staff and ORF, ORS, CIT and other (*Project Execution Group*) staff:

- Reviews POR at established intervals for programmatic needs and compliance with all applicable codes, standards, guidelines and provisions of contract, when applicable and, approves the Final POR.

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ORF/ORS Division Directors

- Reviews and signs the Final POR indicating acceptance of its contents, including budget & schedule.

Director, ORF

- Reviews and approves the Final POR as the final approval authority of the POR. This designation has been delegated to the Director, ORF through the Director, NIH as the designee of the OPDIV head and, is in accordance with PHS Facilities Manual, Section 2-4-20 B.

D. Project Specific Requirements

The approved POR shall be included as part of the HHS Facility Project Approval Agreement (FPAA) package developed by the DFP, ORF for obtaining review and approval of project scope and budget by the NIH, HHS and Congress. Once the project is approved and funds appropriated, the POR shall be used as the initial basis for the design contract for design and construction of the facility.

Sustainable design principles shall be incorporated into all NIH design and construction projects for new construction and renovation/alteration. The NIH is committed to products, designs, facilities, operations, strategies, plans & other actions that conserve natural resources protect and improve health, environment and productivity in support of our mission and communities.

For the purposes of planning and review by various organizations, the PORs shall be prepared using dual systems of measurement, the metric system (with English in parenthesis) as per the NIH Design Policy and Guidelines.

E. Definitions

1. Planning Team – consists of (members of the contracted A/E team of) architect(s), engineer(s), planner(s) and other professionals responsible for POR development.
2. Project Execution Group – decision making staff from ORF, ORS and other service providers such as the CIT, that provide input into the POR development process.
3. User Group – decision making staff from customer group whose members provide direction, requirements and budgetary guidelines for the POR.
4. LeMOP - Leasing Management Oversight Process

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5. FeMOP- Federal-Projects Management and Oversight Process: is the means through which NIH exercises due diligence to guide critical decisions at the concept and strategy development stages prior to project implementation.

F. References

- F.1 Public Health Services (PHS) Facilities Manual (*currently in revision*)
- F.2 NIH Design Policy and Guidelines 2006 (*currently in revision*)
- F.3 Lemon - Leasing Management Oversight Process
- F.4 FeMOP - Federal Management Oversight Process
- F.5 Executive Order 12770 – Metric Usage in Federal Government Programs; July 25, 1991

G. Management Controls

- G.1 Office Responsible for Review: DPPA, ORF
- G.2 Frequency of Review: Whenever there are substantive changes or every three (3) years.

H. Contact Information

To obtain copies of this policy or for further information, contact the Policy Branch, Division of Policy and Program Assessment (DPPA), ORF at 301-594-9506.

<http://orf.od.nih.gov> select ‘Policies & Guidelines’