

INSTRUCTION FOR COMPLETING FORMS

A Capital Project Request Form and a Project Financial Form must be filled out for every project that you plan to undertake within the next five years. A Project Ranking Form must also be included to complete the paperwork. Any problems or questions pertaining to the completion of the forms should be directed to Administration or the Finance Office. Completion of the forms in Microsoft Word is preferred.

CAPITAL PROJECT REQUEST FORM

Requesting Agency: Identify what department, division, or office in submitting the capital project request.

Project Title: Each project must have a title (i.e. name of street, building, park, etc.).

Project Number: For previously authorized projects, use the project number that has already been assigned by the Finance Department. New project will not yet have a project number.

Project Status: Indicate if the project submitted is a new project, a previously authorized project, or a previously requested project that has not been approved.

Project Description: Give a full description of the project. Information should include the location, square footage, land or acreage needed for the facility or structure, as well as the useful life of the project. If possible, please include a map.

Project Justification: Describe in detail why the project is needed. The following questions may be used as a guide for completing this section.

- a. *What present or anticipated problem will this project alleviate?*
- b. *To what extent will this project alleviate the present or anticipated problem or service deficiency?*
- c. *How will this project improve services to citizens and other service clients?*
- d. *Is the project needed to bring the county into compliance with any laws or regulation?*
- e. *Will this project increase efficiency in providing a public service?*
- f. *Will this project reduce your annual operating costs in some manner?*
- g. *Is public health or safety a critical factor with regard to this project?*
- h. *How would delays in starting the project affect county services?*

In discussing the justification of a particular project, please be specific with detailed facts and figures. Also, indicate the source of your data.

GENERAL PROJECT INFORMATION

After the project justification section, six questions are listed about the project. Each question must be answered in order to ensure that the important factors to be considered are addressed in any recommended capital project.

1. How does this project fit plans for the future and the objectives of the department?

Indicate the impact this project will have on your program's service level.

2. Who will it serve?

Identify the segment and size of the population the project is expected to serve.

3. What is the project priority (compared to other requests)?

Prioritize the project by assigning high, medium, or low priority.

4. What is the relationship to other projects (either ongoing or requested)?

Identify whether or not the success of this project is related to another project. Also state whether or not this project is required to complete or make fully usable a major public improvement.

5. What are the project alternatives?

List alternative to this project you considered in developing this recommendation. Explain why you rejected the alternatives listed.

6. What are the consequences, if not approved?

Explain in detail the consequence if the project is not approved.

COST ANALYSIS

The cost analysis section enables the department head and the budget staff to evaluate the costs associated with each project. The information requested addresses the following:

- a. Cost estimates prepared by:

Indicate who prepared the cost estimate.

- b. What is the possibility of cost escalation over time?

Indicated to what extent the budget staff can expect the project's cost to increase if the project is delayed or extended over a longer time span than the request schedules.

- c. How does the cost estimate for the requested project compare to other similar facilities or projects that have been authorized recently?

When applicable, compare the cost estimate of the project with the actual cost of a similar project that has been completed in the past three years.

- d. What are the cost options for alternatives?

Give cost estimate for each of the project alternatives listed under the "General Project Information" section of this form.

FINANCING ANALYSIS

The Financing Analysis section provides information on the types of funding available for financing a particular project. Funding sources may be from the federal, state and local levels of the government. Where applicable, private donations may also be considered. If you are considering financing a project with General Fund money, please keep in mind the General Fund will not be sufficient to cover the costs of all the projects that are submitted.

- a. What are the proposed financing sources?
- b. Is the funding source secure?

Discuss the reliability of the funding source recommended for the project anticipated.

TIME FRAME ANALYSIS

This section requests information on all phases of a project that will be undertaken in the next five years. In addition, information should be provided on the relationship between this capital project and other projects in the requesting department and other departments.

- a. Project schedule.

Estimate the starting and completion dates for the project.

- b. Are there any plans or other requirements that must be completed before project can be started?

Indicate whether preliminary work should or must be done prior to the start up dated given, (i.e., conducting a feasibility study). If preliminary plans are needed, explain why.

c. If not a new project, what is the current status of the project?

This question pertains to previously authorized projects that are currently underway. Provide a statement as to the status of the project, which includes one or more of the following categories:

- *Initial project request*
- *Feasibility study complete*
- *Architectural plan/specifications complete.*
- *Land/right of way acquisition, percent acquired*
- *Construction contracts, percent let*
- *Improvements/development complete*

d. How does timing affect other projects?

Explain how the schedule for this project may be related to the timing of other related projects.

PROJECT FINANCIAL FORM

The Project Financial Form is divided into four sections: the budget appropriation plan; the financing plan; the spend plan; and the operating impact statement. Listed below is a detailed set of instructions for completing these four sections of the Project Financial Form.

Budget Appropriation Plan

The budget appropriation plan illustrates the amount of money to be appropriated in each expenditures category and the timing of the appropriation throughout the five year planning period. There are six major categories of expense:

Planning/Design	Land acquisition/R.O.W.	Contingency
Construction	Equipment/Furnishings	Other

If an expense is listed under the “Other” category, please specify what the other expenses are in the “Notes” section at the bottom of the form.

Please keep in mind that the appropriate plan section calls for you to establish an authorization schedule and not a “spend plan”. In most cases, if a project is scheduled to begin in FY 10/11, then the total budget should be entered on the form for that year. The fact that some of the expenses may be incurred in subsequent fiscal years is not relevant to when funds should be appropriated. The Spend Plan section will provide an

opportunity to show when expenses will actually be incurred. For some projects, budget appropriations may occur over a period of time based on the ongoing nature of the project or the availability of revenues for the project. Examples of these types of projects include: water and sewer connections, street improvements, etc.

For ongoing projects that have an existing expenditure history, fill out the first two columns as follows: Under the Prior Year column, include the appropriations for each category based upon actual appropriations for the beginning of the project through June 30, 2010. Do not leave this column blank unless no funds have been appropriated for the project in the past. Under the Current Year column, list actual appropriations for FY 10/11.

Whether funds are appropriated in FY 10/11 or over several years, cost estimates should include adjustments for any increases in the prices of goods and services that are expected between now and the year in which funds will be expended. The inclusion of inflation in the cost estimates will help ensure that adequate funding is available for every phase of the project.

If the project will be completed after June 30, 2011, please estimate future budget appropriations for each element of the project until its completion and show this information in the "Notes" section on the form.

Financing Plan

The Financing Plan outlines the resources authorizations necessary to fully finance the appropriations plan. Total resource authorization must match total projected budget appropriations in each year where budget appropriations occur. For some projects, the source of funding may not be clear. In these cases choose the source you think is most logical and the budget staff will make the final recommendation for a financing alternative that will go to the County Manager for his review.

Spend Plan

The Budget Spend Plan section estimates the actual capital expenditures that will be disbursed for each year of the plan. Estimates on actual capital spending are used for cash management and compliance with Federal IRS regulations on arbitrage. Do not leave this section blank.

Operating Impact Statement

The Operating Impact Statement provides information relating to the project's influence on the operating budget in terms of both expenses and program generated revenues. This section outlines exactly what types of recurring expenses will be incurred when the project becomes operational. Please use the following guidelines in preparing this section:

Projected Expenses

List under the appropriation categories-Personnel, Operating, and Capital Outlay – the estimated future operating costs by fiscal years for the project. In projecting personnel and operating expenses beyond 2010-2011, please use a 4% inflation factor for each of the next four fiscal years. Under the Capital Outlay Category, please do not duplicate the figures you show under the Equipment and Furnishing Category of the capital project. The capital outlay figure shown should only include those items that are not directly associated with the capital project. For example, if you move into a new building, which will require the hiring of a receptionist/typist, you would want to include a computer or typewriter for this position under capital outlay.

Projected Revenues

The Projected Generated Revenues category includes additional revenues a project might generate for the County. For example, the County may decide to extend water and sewer lines to an area not previously served by the County. If, by chance, the increased income exceeds the additional operating expenses, the extension would produce new net operating income for the County. This could also be the case for certain kinds of recreational and parking facilities. Therefore, please indicate, by fiscal year, additional revenues that will be generated as a result of this project. Finally subtract these revenues from the operating expenses in order to determine the Net Operating Effect on the project.

CAPITAL PROJECT REQUEST FORM

Requesting Agency:

Project Title:

Project Number: (If previously authorized)

Project Status:

New: _____ In Previous CIP: _____

Previously requested but not approved: _____

Project Description: (include location and maps, if applicable)

Project Justification:

GENERAL INFORMATION:

How does the project fit plans for the future/objectives of the department?

Who will it serve?

What is the project priority (compared to other requests)?

What is the relationship to other projects (either ongoing or requested)?

What are project alternatives?

What are the consequences if not approved?

COST ANALYSIS

Cost estimates prepared by:

What is the possibility of cost escalation over time?

How does this cost estimate compare to other similar facilities or projects that have been authorized recently?

Are all costs included? (Yes or No)

- Land acquisition _____
- Engineering Fees _____
- Other miscellaneous professional fees _____
- Appraisals _____
- Soil Testing _____
- What about contingency? _____

What are cost options for alternatives?

FINANCING ANALYSIS:

What are the proposed financing sources?

Are these funds sources secure? Or are they subject to an approval process, adjustment or cancellation?

TIME FRAME ANALYSIS

Project Schedule

Start up date:

Completion Date:

Are there any plans or other requirements that must be completed before the project can be started?

If not a new project, what is the current status of the project?

How does timing affect other projects?

PROJECT FINANCIAL FORM

Requesting Department:

Project Description/Identifying #:

Budget Appropriation Plan

Expenditure	Prior Years	Current Year	FY 2011/2012	FY 2012/2013	FY 2013/2014	FY 2014/2015
Planning/Design						
Construction						
Land Acquisition/R.O.W.						
Equipment & Furnishings						
Contingency						
Other (See Notes)						
Total						

Financing Plan

Revenues	Prior Years	Current Year	FY 2011/2012	FY 2012/2013	FY 2013/2014	FY 2014/2015
Federal Grants						
State Grants						
G.O Debt						
Other Debt						
Other Funds						
Other (See Notes)						
Total						

Spend Plan

	Prior Year	Current Year	FY 2011/2012	FY 2012/2013	FY 2013/21014	FY 2014/2015
Cash Disbursement						

Operating Impact Statement

Projected Expenses (additional operational expenses expected as a result of this project becoming operational)

Expense Once Project is Complete	Current Year	FY 2011/2012	FY 2012/2013	FY 2013/2014	FY 2014/2015
Salaries & Related Expenses					
Utilities					
Repair & Maintenance					
Other Operating Costs					
Capital Outlay					
Totals					

Projected Revenues (additional operational revenues expected as a result of this project becoming operational)

Revenues Once Project is Complete	Current Year	FY 2011/2012	FY 2012/2013	FY 2013/2014	FY 2014/2015
User Fees					
Federal Grants					
State Grants					
Local Contributions					
Other					
Totals					

NOTES