

ADMINISTRATIVE PROCEDURES



Procedure Number: 22-13

Effective Date: 08/12/1991

Revision Date: _____

C. DeLubov
County Administrator

SUBJECT: **CAPITAL IMPROVEMENT PROGRAM**

DEPARTMENT RESPONSIBLE: **Finance Department**

I. **STATEMENT**

These procedures establish the process to request Board of Supervisors approval to:

- Revise capital improvement projects after adoption of CIP budget.
- To request budget authority for a new capital project at times other than the annual budget process.

The Capital Improvement Administrative Procedure is consistent with the Financial Management Administrative Policy approved on November 21, 1989. That policy requires specific authorization for expenditures by departments that exceed capital project budgets. The amendment procedures apply to capital projects with total costs of \$100,000 or greater.

Application of the procedures to capital projects costing less than \$100,000 is at the option of the County Administrator or at the Elected Official's or Department Director's request to the County Administrator.

The procedures are to be used when:

- Anticipated current fiscal year capital expenditures would:
 - be more or less than the current fiscal year project budget by ten percent or greater.

OR

 - increase/decrease total project costs by \$100,000 or more.
- Purchase commitments and/or contract commitments for a current fiscal year capital project expenditure would:
 - increase or decrease the total contract value by more than twenty percent.

OR

 - increase or decrease the total contract value by more than \$20,000.

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- The magnitude or scope of the design and planned or actual construction of a capital project changes to such a degree that project completion is delayed or moved forward six or more months.
 - A change in a capital project location occurs; when:
 - A capital project location previously undetermined is determined.
 - A project location is being revised within a Supervisorial district.
 - A revision causes a project location to cross another District boundary.
 - Other location changes which may in the view of County Management be significant or otherwise be of interest to the public.
 - There is a change to a capital project which the County Administrator; Elected Official or Department Director, through the County Administrator, determines significant enough to request formal approval from the Board of Supervisors.
 - A new capital project is proposed during the year because of an emergency or for other compelling reasons.

II. PROCEDURE

A. Submission of Items

1. Request for CIP Amendments shall be submitted in the approved format and must include information as indicated on the attached Guidelines (Attachment A). If the request includes a new capital project or is a revision to a capital project location, the request must include the project location on a Supervisorial District base map.
 - a. The requesting department should complete the form and attach it to a memo signed by the Department Director summarizing the request and submit request to the appropriate Assistant County Administrator.
 - b. The requesting department will provide the Finance Department (Financial Services Division) with a copy of the completed CIP Amendment Request form. When the request involves a funding source change, the Finance Department Bond Administrator will also review the request.

B. Consideration Process

1. The Assistant County Administrator will determine whether the request is valid; for example whether the request falls within the requirements for a Cost Revision as outlined in Section I, and will determine if the request should be considered.

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- a. If the request does not meet the criteria or is not approved by the Assistant County Administrator, it will be returned to the requesting department director explaining the basis for the determination.
 - b. If the request meets the criteria and is approved by the Assistant County Administrator, it will be submitted to the County Administrator for approval.
2. If the County Administrator gives final approval, the County Administrator's Office will notify the requesting department of the targeted Board of Supervisors agenda date. Unless the item requires extensive staff analysis or it is a multiple request grouped as one, the targeted date will be no later than thirty (30) days from the date the item is approved by the County Administrator.
 3. If the County Administrator disapproves the request, it will be returned to the Assistant County Administrator who will in turn notify the requesting department of the determination.

C. Staff Analysis

1. If the request is approved by the County Administrator, the Finance Department may be requested to perform a cost analysis. Recommendations from Finance will be submitted to the County Administrator no later than one week prior to the deadline for agenda submissions. If additional time is needed, the County Administrator must be notified immediately in writing.

D. County Administrator Action

1. Upon completion of the staff analysis, the County Administrator will present the request to the Board of Supervisors with his findings and recommendations.
2. A copy of the recommendation will be forwarded concurrently to the requesting department and Finance Department.

E. Board of Supervisors Action

1. Upon final determination by the Board of Supervisors on the request for a CIP Amendment, the County Administrator will notify the requesting department and the Finance Department of the action taken.
2. If the CIP amendment request is approved by the Board of Supervisors and it involves a Supervisorial District location change or New Project Addition, the department will submit the base map to the "Imagin" project staff for further processing.

ATTACHMENT A**GUIDELINES FOR COMPLETING CIP AMENDMENT REQUEST FORMS****A. CIP PROJECT DATA**

1. The requesting department should enter the data requested from "Request Date" to "Project Description."

B. PROJECT COST REVISION

1. The requesting department should indicate whether the dollar amount of the revision is an overall increase or decrease.
2. The requesting department should enter the adopted and revised amount(s) on the form, in addition to the corresponding increase or decrease for each fiscal year. The amounts should be rounded to the nearest thousand dollars, i.e.: \$1,105 would be one million, one hundred and five thousand dollars and no one hundreds. Also, the correct fiscal year endings should be filled in on the form, where applicable, by the requesting department.
3. County administrative procedures require that current fiscal year project expenditures over/under budget must have Board of Supervisor approval.

C. PROJECT FUNDING REVISION

1. When the funding source amounts are changing the requesting department should enter the adopted and revised amounts under the appropriate year(s). An entry should also be made for the corresponding increase or decrease for each year.
2. When the funding source(s) are changing the requesting department should enter the "New" and "Old" Sources across from the appropriate year.
3. The requesting department is to copy the completed form and submit the copy to the Bond Administrator for all funding revisions.

D. PROJECT LOCATION REVISION

1. Entries by the requesting departments are to be made under this type of revision when a project location change occurs affecting a location within a District, across a District boundary, among Districts or is fixed after being undetermined.

ATTACHMENT A Continued

2. The requesting department is to make entries on the form as in the examples given below:
 - Specific District Locations changes:
 - i.e.: From: 5
 - To: 2
 - Multiple District Location changes:
 - i.e.: From: 2 and 5
 - To: 3 and 5
 - All District Location changes:
 - i.e.: From: Put a "X" under the All Districts Column
 - To: Multiple District
 - 3 and 5

 - i.e.: From: Put a "X" under the All Districts Column
 - To: Specific District
 - 3 and 5
 - To Be Determined District:
 - i.e.: From: Put a "X" under the To Be Determined Column
 - To: Choose the appropriate column and enter either an "X" or the district number(s)
3. The requesting department should enter the adopted and revised amount(s) on the form, in addition to the corresponding increase or decrease for each fiscal year. The amounts should be rounded to the nearest thousand dollars, i.e.: \$1,105 would be one million, one hundred and five thousand dollars and no one hundreds. Also, the correct fiscal year endings should be filled in on the form, where applicable, by the requesting department.
4. Enter the reason for all Supervisorial District location changes.
5. For project changes involving Specific District locations (1,2,3,4,5) Multiple District locations, and ALL Districts the requesting department is to contract the "Imagin" project staff to request a Supervisorial District base map. The requesting department will identify the new and old location of the project on the map by using the titles "New" and "Old". The department is to submit the map with CIP Amendment Request Form. All other location changes will only require the appropriate entry on the form.

ATTACHMENT A Continued**E. OTHER REVISIONS**

1. This category may be used by the requesting department or by the County Administrator or Department Director when there is a revision not covered by the above categories and it is determined that Board of Supervisor approval is warranted.
2. The requesting department should enter the person requesting the change, a description of the revision, the reason for the revision and the budget impact.

F. NEW PROJECT ADDITIONS

1. The requesting department should contact the Financial Services Division of the Finance Department to obtain the input format for Capital Projects that are new project additions.

G. APPROVAL

1. Signature approval at all four management levels is required before any changes can be made to the official CIP budget or accounting records.

ATTACHMENT A Continued

CONTROL # _____

**CAPITAL IMPROVEMENTS PROGRAM
REQUEST FORMS**

A. CIP PROJECT DATA

DEPARTMENT:	REQUEST DATE:
CONTACT PERSON:	SUPERVISORIAL DIST. #:
PROJECT NAME:	PROJECT #:
PROJECT LOCATION:	
PROJECT DESCRIPTION:	

- All negative amounts or decreases should be entered in brackets ().
- All amounts should be rounded to the nearest thousands.

B. PROJECT COST REVISION

Overall Increase _____

Overall Decrease _____

<u>YEARS</u>	<u>ADOPTED</u>	<u>REVISED</u>	<u>INCREASE/ DECREASE</u>
199	\$ _____	\$ _____	\$ _____
199			
199			
199			
199	_____	_____	_____
Total	\$ _____	\$ _____	\$ _____

Reason for Revision:

ATTACHMENT A Continued

CONTROL # _____

C. PROJECT FUNDING REVISION

<u>YEARS</u>	<u>ADOPTED</u>	<u>REVISED</u>	<u>INCREASE/ DECREASE</u>	<u>NEW SOURCE</u>	<u>OLD SOURCE</u>
199	\$ _____	\$ _____	\$ _____		
199					
199					
199					
199					
Total	\$ _____	\$ _____	\$ _____		

Reason for Revision:

D. PROJECT LOCATION REVISION

	<u>SPECIFIC DISTRICT</u>	<u>MULTIPLE DISTRICTS</u>	<u>ALL DISTRICTS</u>	<u>TO BE DETERMINED</u>
FROM:	_____	_____	_____	_____
TO:	_____	_____	_____	_____

<u>YEARS</u>	<u>ADOPTED</u>	<u>REVISED</u>	<u>INCREASE/ DECREASE</u>
199	\$ _____	\$ _____	\$ _____
199			
199			
199			
199			
Total	\$ _____	\$ _____	\$ _____

Reason for Revision:

**** ATTACH MAP SHOWING CURRENT AND PROPOSED LOCATIONS**

ATTACHMENT A Continued

CONTROL # _____

E. OTHER REVISION

Requested by:

Description:

Reason for Revision:

Budget Impact:

F. NEW PROJECT

**** ATTACH MAP SHOWING LOCATION OF PROJECT(S).**

APPROVED:

_____ Department Director	_____ Date
_____ Assistant County Manager	_____ Date
_____ County Manager	_____ Date
_____ Chairman, Board of Supervisors	_____ Date