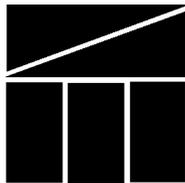


Instructions for 2007 Budget Submissions

Amendments to the
2006-2008 Biennial Budget



**Virginia Department of Planning and Budget
September 2006**

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Narrative Justification (Form NJ)

See <http://dpb.virginia.gov/forms/forms.cfm>

New Position Detail (Form NP)

See <http://dpb.virginia.gov/forms/forms.cfm>

Information Technology Submissions

See <http://dpb.virginia.gov/forms/forms.cfm>

Capital Budget Requests

See <http://dpb.virginia.gov/forms/forms.cfm> and <http://forms.dgs.virginia.gov>

Rate Adjustment Narrative Justifications

See <http://dpb.virginia.gov/forms/forms.cfm>

Out-Year Cost Estimates

See <http://dpb.virginia.gov/forms/forms.cfm>

Legislative Reporting Forms

See <http://dpb.virginia.gov/forms/forms.cfm>

Section 1: Overview

This section summarizes the overall requirements for budget submissions.

These instructions describe how to develop your agency's budget requests for the Governor's 2007 executive budget. The 2007 budget will contain the Governor's proposed amendments to the 2006-2008 biennial budget adopted by the 2006 Special Session I of the General Assembly. Your agency will be required to make electronic submissions to DPB for all proposed amendments. No hard copies are required or needed. **Your budget submissions are due to the Department of Planning and Budget no later than October 18, 2006.**

Amendments to the Commonwealth's budget at mid-biennium are traditionally limited to emergencies, legislative or court-ordered mandates, prior commitments, and critical needs. This year will be no exception. New initiatives or new spending items are proposed generally only in the long legislative session when a new biennial budget is considered.

Amendments will only be considered if the specific request is determined to be inherently governmental. An inherently governmental activity is one that is so intimately related to the public interest, public well-being, and public trust as to mandate its performance by the governmental entity, state employees, and their direct agents. Guidance on inherently governmental activities may be found in the 2005 commercial activities inventory at: <http://www.egovcompetition.com/>.

Amendments are budget submissions that propose any changes to your agency's 2006-2008 legislative appropriation, as contained in the 2006 Appropriation Act. Your agency's proposed operating amendments are **due to DPB by October 18, 2006**. The submission includes two major components:

- **Narrative justifications and new position details.** For *each* individual amendment package your agency submits, you must prepare a *narrative justification* on Form NJ. In addition, for each amendment that involves a funding request for new positions, you must complete a Form NP (new positions) Excel spreadsheet. (These forms can be downloaded from the DPB website and must be submitted in electronic format.) **See Section 2 of these instructions for details about preparing the narrative justification.**
- **Data submission.** The data submission for operating amendments is an electronic submission through DPB's WebBEARS that allocates the resources for each proposed amendment package among the affected programs/service areas and objects/subobjects for each year of the 2006-2008 biennium. **See Section 3 of these instructions for details on preparing the data submission.**

Only certain capital requests can be considered in an odd-numbered year. Section 4-4.01g of the 2006 Appropriation Act *limits* consideration of capital requests in odd-numbered years to:

- Supplementing projects which have been bid and determined to have insufficient funding to be placed under contract, and

- Projects declared by the Governor or the General Assembly to be of an emergency nature, which may avoid an increase in cost or otherwise result in a measurable benefit to the state, and/or which are required for the continued use of existing facilities.

Agencies may submit an information technology (IT) amendment package for a major IT project only if the proposed project was identified in the *Agency IT Strategic Plan for 2006-2008* and included in the September 1 report to the Governor and General Assembly entitled, *Recommended Technology Investment Projects (RTIP) for the 2006-2008 Budget Biennium, September 1, 2006 Submission*. An agency may submit an amendment package for any non-major IT project only if it was also identified as a project in the *Agency IT Strategic Plan for 2006-2008*. Inclusion of an agency project in the September 1 RTIP report is not assurance that it will be funded. For those projects requiring funding, agencies must submit a budget request for the project to be considered for inclusion in the Governor's 2007 executive budget.

If your agency proposes a technology-related amendment package, you also must make a submission to the Virginia Information Technologies Agency (VITA). Send an electronic copy of your narrative justification, Form NJ, to VITA.

These instructions apply to all state agencies and institutions of higher education.

If your agency has no requests for budget amendments for the 2006-2008 biennium, your agency only needs to complete and submit the legislative reporting forms described in Section 10.

Terms used in these instructions

- **FY 2007** means the fiscal year beginning July 1, 2006 and ending June 30, 2007.
- **FY 2008** means the fiscal year beginning July 1, 2007 and ending June 30, 2008.
- **2006-2008** means the two fiscal year periods from July 1, 2006 to June 30, 2008.
- **2006 Appropriation Act** refers to Chapter 3, 2006 Acts of Assembly Special Session I.
- **Legislative Appropriation** refers to the dollar amounts and positions for FY 2007 and FY 2008 contained in the 2006 Appropriation Act.

Key dates calendar

<i>Date</i>	<i>Action</i>
September 29	Agencies provide their Secretaries a list of budget proposals for consideration.
October 06	Secretaries provide guidance on which requests need detailed submission.
October 18	Budget submissions due to DPB from agencies.
October 20	Nongeneral fund revenue estimates due to DPB from agencies.

<i>Date</i>	<i>Action</i>
November 1	Strategic plan templates resubmitted to reflect financial and programmatic changes in the 2006-2008 biennial budget (Chapter 3).
November 1	Legislative reporting forms due to DPB from agencies.
December 15	Governor submits proposed amendments to the 2006-2008 budget to the General Assembly.
January 10	2007 General Assembly convenes.

Section 2: Operating Amendments

This section provides details on submitting amendment packages for your proposed amendments to the 2006-2008 budget

For requests to amend the operating budget, your agency's 2007 budget submission includes two major elements: (1) narrative justifications (one for each proposed amendment) and new position details (one for each amendment with new positions), and (2) a WebBEARS data submission. Your Secretary may require additional information as well.

An "amendment" is a proposal to modify your agency's 2006-2008 legislative appropriation or to modify language in the 2006 Appropriation Act. Each amendment package should cost out and justify *one* action or strategy proposed to address a critical issue. The action proposed in each amendment package should be a discrete unit that can be evaluated on its own merit, independently of any other proposals. (Under certain circumstances, several strategies or actions may be tightly interrelated and cannot be viewed independently. If so, they may be grouped together in one amendment package.)

Dollar or position amendments may be technical in nature or seek funding to maintain current levels of services or to fund new initiatives.

- **Technical adjustments.** Technical adjustments are any changes to your agency's budget that do not involve policy decisions. These technical adjustments are due with other budget submissions *on October 18, 2006*. Examples of technical adjustments include proposals to shift funds or positions between programs or service areas, or account for additional nongeneral fund revenue that does not involve a policy decision and that has already been approved or will be approved administratively for FY 2007 or FY 2008, such as a federal grant that will continue for five years.
 - **Note:** Routine cost or rate increases are *not* considered technical adjustments. Submit as an amendment any proposals to change your agency's budget involving cost increases or decreases due to rate changes or to workload or caseload changes.
- **Language-only amendments.** Language-only amendments which do not affect dollar amounts or positions, including changes to language in Part 3 (Miscellaneous) and Part 4

(General Provisions) of the Appropriation Act, *must also meet the budget criteria outlined above*. If your agency proposes changes to the *language* only (does not affect dollar amounts of positions) in the 2006 Appropriation Act, submit the “Amendment Narrative Justification” (Form NJ) to explain the intent of and reason for the amendment. At the end of the form, insert an electronic copy of the affected page(s) of the 2006 Appropriation Act. Show proposed additions in italics and requested deletions with strike-throughs.

2007 amendment package categories

Each amendment *must* fit into one of the categories below. Use only *one* category for each amendment- the category that *most closely defines* the proposed amendment. If your agency has more than one amendment package within a category, assign the numbers for each one sequentially. Start with 100 (or 200, or 300, etc, according to the category) and continue sequentially with 101, 102, etc. within each category. If you have trouble deciding which category to use, consult with your DPB budget analyst.

<i>Number Series</i>	<i>Category Definition</i>
001-199	RESERVED FOR DPB USE
200-299	Technical adjustments. This category is for technical or housekeeping adjustments that do not have an overall net budget impact or do not involve policy decisions, such as to shift funds or positions between programs or service areas or to appropriate additional nongeneral fund revenue (such as a federal grant that is more than originally anticipated or will continue for an additional year).
300-349	Emergencies. The request is essential to prevent or eliminate an immediate threat to life, safety, health, or property.
350-399	Mandates. The request is necessary to meet the requirements of a state or federal law or a court order. (Note: The definition of “mandate” is restrictive.) Requirements of state or federal regulations are <u>not</u> considered mandates per se. If a regulation or legislation simply enables or authorizes an activity but does not require it, the activity is <u>not</u> considered a mandate. This category should be used <u>only</u> if there is absolutely no alternative but to fund the request. It is anticipated that very few, if any, requests will fall within this definition.
400-449	Unanticipated and unavoidable cost adjustments. This category is for increases or decreases in your agency’s budget to reflect cost adjustments involving existing services <i>or</i> for adjustments to the rates charged by central service agencies for services used by other state agencies. (Note: This category is NOT for budget proposals involving a change in the scope of services or the way your agency delivers services or does business.)
450-499	Salary increases and regrades. This category is for salary increases due to position regrade/classification. (Note: This category is NOT for statewide salary increases).

<i>Number Series</i>	<i>Category Definition</i>
500-599	Caseload or workload adjustments. This category is for routine changes, either increases or decreases, in your agency’s budget to reflect cost adjustments involving changes in workloads or client loads. (Note: This category is NOT for budget proposals involving a change in the scope of services or the way your agency delivers services or does business.)
600-649	Reorganizations. This category is for proposals to transfer a program, service, or activity to another government entity (local, state, or federal), or to privatize. This category is for operational or organizational changes that will result in long-term cost-savings or benefits to the Commonwealth such as consolidating organizational units. This category also is for proposals that involve any agency reorganization that produces a need for additional agency resources (either funds or positions), or involves a policy issue. Examples include creating new organizational units or changing functional program units.
650-699	Operational efficiencies and service reductions. This category is for cost savings or efficiency measures that your agency proposes to implement or for proposals that produce cost savings by reducing the services or scope of services delivered to your agency’s customers. Examples include phasing out or eliminating certain administrative activities or positions, reducing or eliminating discretionary expenses (printing, travel, etc.), or decreasing or eliminating current services.
700-724	Information technology. This category is for proposals for information technology resources, including hardware, software (whether commercial packages or custom-developed), telecommunications equipment or services, and any related consulting, training, or support/maintenance services.
725-799	Other spending or initiatives. This category is for any other proposals for additional resources that will require new or expanded services.
800-824	Position level changes only. This category is for changes (increases or decreases) to position levels that have no other impact on appropriated amounts. (Note: transfers of positions between agencies should be requested using the 600-649 amendment series “reorganizations.”)
825-899	Appropriation Act language only. This category is for proposals to add, delete, or modify language in the Appropriation Act. Proposals in this category should have no impact on the appropriation amounts.
900-999	Capital projects. This category is to reflect increases or decreases in appropriations for new or existing capital outlay projects.

Section 3: Narrative Justification

This section provides details and requirements for preparing your narrative justifications.

The narrative justification is your main tool to explain and justify your budget request so that decision makers can consider the merits of funding it. You must prepare a *separate* narrative

justification for *each* amendment package. In addition, if your request involves new positions, you must submit a separate form (Form NP) that details the cost of the new positions requested.

You must use the prescribed format for the Amendment Narrative Justification (Form NJ). You can download the Amendment Narrative Justification in a Word file from DPB's web site (<http://dpb.virginia.gov/forms/forms.cfm>). The narrative justification must be submitted to DPB electronically via e-mail. The new position detail submission Excel file (Form NP) can also be downloaded from the DPB web site. A separate copy of Form NP must be submitted electronically for each amendment that contains funding for new positions.

The following are some guidelines for submitting your request:

- **Quality is important.** The quality of your submission is important. Remember, decision-makers may have only your narrative justification as a basis for evaluating your agency's proposal. You will need to thoroughly explain *what* the proposal involves and *why* the proposal should be funded. Be as thorough and complete as possible. Do not feel constrained by the space provided for the "Amendment Narrative Justification." Space is not limited. Feel free to provide all the necessary narrative to fully explain each amendment package.
- **Attach additional information if needed.** Be sure to include with your submission any supplementary documents, such as background information or other material you think will explain your proposal and support your submission. If these materials are not available in electronic format, send a hard copy to your agency's DPB budget analyst.
- **Answer all questions in the required format.** For technical adjustments (amendment numbers 200 through 299), you only need to complete the first section of Form NJ. For all other requests, you must respond to all of the items in the required format. If an item is not applicable, simply put "N/A."

Submit the **Amendment Narrative Justification (Form NJ)** in the electronic format described in the instructions in Appendix A. Attach any necessary supplemental information. E-mail your submission to budget@dpb.virginia.gov and your assigned DPB budget analyst. All files submitted (including supplemental information) should be named to include the form number (where applicable), the agency code, and the amendment number to which the files apply.

Section 4: New Position Detail (Form NP)

This section provides details on calculating the costs of requested new positions.

For new positions, you are required to submit a copy of Form NP, which is an Excel file that will calculate the costs of new positions for you. Form NP already contains the rates in the following table. If you have a request that involves personal services costs other than new positions (such as a job class regrade), you will need to calculate the costs separately using the following rates as appropriate.

Subobject	Factor	Annual Costs/Factor ¹	
		FY 2007	FY 2008
1111	VRS Retirement Contributions²		
	State Employees	10.74%	11.15%
	Virginia Law Officers Retirement (VaLORS)	19.96%	20.86%
	State Police (SPORS)	21.71%	22.89%
	Judges (JRS)	41.47%	43.01%
1112	Social Security ³	6.20% capped at \$94,200	
1112	Medicare	1.45%	
1114	Group Life	1.13%	
1115	Annual Employer Health Insurance Premiums		
	Single		\$4,536
	Employee Plus One		\$8,100
	Family		\$11,892
1116	Retiree Health Insurance Credit Premium	1.07%	
1117	VSDP & Long-Term Disability Insurance		
	State employees		1.78%
	State Police		1.78%
	VaLORS		1.78%
1118	Teachers Insurance and Annuity ⁴	10.40%	
1119	Defined Contribution Plan ⁵	10.40%	
1138	Deferred Compensation Match Payments	One-half of employee's contribution per pay period, up to a max of \$20 per pay period or \$480 annually.	

¹ Percentage costs refer to percent of salaries. Health insurance premiums are the annual employer dollar cost for an individual. Except for retirement, cost factors are the same for both years.

² Retirement contribution rates include the five percent employee portion (paid by the Commonwealth for state employees).

³ The \$94,200 Social Security cap applies only to calendar year 2006. The Federal Social Security Administration will update this cap for calendar year 2007 at a later date.

⁴ For institutions of higher education: This includes alternative retirement options, such as TIAA-CREF, for those employees as defined in § 51.1-126 of the Code of Virginia.

⁵ Used for employees eligible for a defined contribution plan established pursuant to § 51.1-126.5 of the Code of Virginia.

- **Other personal and nonpersonal services costs.** If your proposal affects positions, make sure that you account for *other personal services costs*, such as overtime payments, wage employment, and payment of leave balances. Also include any support costs, such as office supplies, travel, or equipment needed to support the position(s).

Detail in the justification the nonpersonal services costs that are included in your request and the methodology for developing your cost estimates. Be sure to distinguish one-time costs.

Submit the **New Position Detail (Form NP)** in the electronic format described in the instructions in Appendix B. Attach any necessary supplemental information. E-mail your

submission to budget@dpb.virginia.gov and to your assigned DPB budget analyst. All files submitted (including supplemental information) should be named to include the form number (where applicable), the agency code, and the amendment number to which the files apply.

Section 5: Data Submission

This section provides details on preparing and filing the data submissions.

The data submission allocates the resources your agency proposes in each amendment package among the programs and service areas, major objects or subobjects of expenditure, and funds or fund detail affected for each year of the 2006-2008 biennium. **The data submission is also due on October 18, 2006.**

Your data must be submitted using DPB's web-based WebBEARS system.

Prepare the budget data for each amendment package using the unique amendment package number you have assigned to it, as a discrete submission even if the request is distributed among several programs and service areas. Do **not** combine multiple amendment packages or portions thereof in your data submission.

Remember, when entering dollars or FTE positions for each proposal, **use only the incremental change** from your agency's current legislative appropriation (2006 Appropriation Act). Do **not** use replacement amounts.

Specific information about the data submission

Personal services. For all personal services, array your planned expenses for each amendment package *by subobject detail*. To download the expenditure structure, dated July 06, 2006, go to <http://dpb.virginia.gov/forms/forms.cfm>. If the amendment package includes any *adjustments for turnover and vacancy savings*, you may use the following designated convenience codes:

- 1192 Turnover/Vacancy Faculty Salaries
- 1193 Turnover/Vacancy Fringe Benefits
- 1194 Turnover/Vacancy Medical/Hospital Insurance
- 1195 Turnover/Vacancy Classified Salaries

Do not use any other convenience codes for personal services.

Remember to carry out position requests to no more than two decimal places.

Nonpersonal services. For all nonpersonal services, array the planned expenses *by major object of expenditure*. Use only the designated convenience codes which are listed below (e.g., for your

expenses in the 1200 major object of expense, enter your aggregate amount using the convenience code 1295):

- 1295 Undistributed Contractual Services
- 1395 Undistributed Supplies and Materials
- 1495 Undistributed Transfer Payments
- 1595 Undistributed Continuous Charges
- 2195 Undistributed Property and Improvements
- 2295 Undistributed Equipment
- 2395 Undistributed Plant and Equipment
- 3195 Undistributed Obligations

For nonpersonal services, use **ONLY** the designated convenience codes listed here. Do **not** use any other budgetary nonpersonal services convenience codes, including those in Section D of the expenditure structure or elsewhere. (*Note: For institutions of higher education, recoveries should include the appropriate recovery subobject code.*)

Sum Sufficient Appropriations. Internal Service Fund Requests for sum sufficient and/or internal service fund requests, please array your amendments as described previously by program, service area, and appropriate expenditure codes and then use subobject 4101 (sum sufficient recovery) to offset the total amount being requested at the service level area level. In addition, do not enter any dollar amounts for the 0600 fund in the “fund” screen. You should enter position totals and fund totals for positions supported by the sum sufficient appropriation.

Fund/fund detail information. Include fund information at the program level by fund/fund detail. Remember that if your request for funding is approved, the nongeneral fund detail submitted is the fund from which you will be expected to expend. For nongeneral funds, unless you are initiating the use of a new fund, make sure that the fund/fund details submitted are the same ones from which your agency currently expends or are included in your agency’s 2006 legislative appropriation.

Changes between fund sources. *If* an amendment package makes a shift between fund sources (for either dollars or FTEs) and the net effect of the amendment package or change is zero, you do not need to enter a detail subobject record.

Balancing the submission. Before submission, make sure that for *each* amendment package, the total dollars and positions for fund/fund detail *at the program level* balance to the dollars and FTEs at the subobject level. If the amendment package contains multiple programs, the same rule applies: Each *program* must balance for dollars and FTEs at fund/fund detail *and* at the subobject level.

Numbering the submissions. Number each individual amendment package in sequential order according to its unique amendment package number (e.g., amendment package number 200, amendment package number 201, etc.). Be sure to use *the same number* you use on the Form NJ for each amendment package.

Submitting the data

Submit your data submission using WebBEARS (<http://dpb.virginia.gov/Bears/Welcome.cfm>) the Web-based budget submission. Tips on using WebBEARS:

- Most agencies have already obtained a login ID for staff using the WebBEARS system. If a new login ID is needed, go to the DPB's Web site (<http://dpb.virginia.gov/Bears/accessrequest.cfm>) and submit the required form.
- ***Remember to use the drop-down menu on the main screen of WebBEARS to select "2007_Amendments" when you enter your data.***
- WebBEARS has friendly "Help" screens that guide you through the system. For technical questions, contact your budget analyst. If your budget analyst is unavailable, you may call:

Van Nessa Davis-Thornton 804-786-2541

Once you click the "Complete submission" button, your submission will be locked and an email will be sent to DPB letting them know you have completed your submission.

Section 6: Information Technology Submissions

This section provides details on preparing and filing information technology submissions.

Section 2.2-2007 of the Code of Virginia requires that the Commonwealth's Chief Information Officer review budget requests from state agencies and institutions for information technology funding and recommend to the Information Technology Investment Board budget request priorities. If any of your agency's proposed amendment packages relate to information technology (i.e., those in the 700-724 category series), you must submit an electronic copy of Form NJ to VITA as well as DPB by close of business on October 18, 2006. See <http://dpb.virginia.gov/forms/forms.cfm> for more detailed instructions and the email address.

Note: Inclusion of an agency project in the report to the Governor and General Assembly entitled, *Recommended Technology Investment Projects for the 2006-2008 Budget Biennium, September 1, 2006 Submission* is not assurance that it will be funded. For those projects requiring funding, agencies must submit a budget request for the project to be considered for inclusion in the Governor's 2007 budget bill.

Section 7: Rate Adjustments by Central Agencies

This section provides details on requirements for rate adjustments by central agencies.

As the Governor's introduced budget is developed, it is necessary for central service agencies to inform DPB of any actions they might propose that could impact the operating budgets of other state agencies in the future. Such actions include changes to the rates imposed upon other state agencies for intra-governmental services, such as telecommunications, office space rentals, or insurance premiums. It is imperative that this information is received in time for consideration and possible inclusion within the Governor's introduced budget. **No change to central service agency rates may be implemented without the prior notification of DPB and inclusion in the Governor's Executive Budget.**

Central service agencies must notify DPB by October 18, 2006 about any planned changes to the rates they will assess other state agencies during the 2006-2008 biennium. This notification must include an explanation justifying the proposed rate adjustment, the service rate currently in effect, the new rate being proposed, the unit of measure for the affected service (e.g., square footage of office space, etc.), the total number of units used by each affected state agency, and the effective date of the rate adjustment. Central service agencies should submit the required information to DPB in an electronic format on Form RANJ – Rate Adjustment Narrative Justification. However, central agencies do not need to make a WebBEARS submission for these rate adjustments, unless the rate adjustments impact their own base budget. If rate adjustments are approved, DPB will make the adjustments for other individual agencies.

See Appendix E of these instructions for more on Form RANJ.

In addition to completing the Form RANJ, the central agency needs to provide a spreadsheet showing the 2006-2008 impact by fiscal year over existing rates for each affected state agency.

Section 8: Out-Year Cost Estimates (Form OYF)

This section provides details on preparing and filing out-year cost estimates.

Section 2.2-1503.1 of the Code of Virginia requires a six-year estimate of expenditures. In order to prepare this estimate, agencies that anticipate an increase or decrease in spending in the out-years (e.g., FY 2009, FY 2010, FY 2011, and FY 2012) that is not part of a decision package for the 2006-2008 biennium must complete the Form OYF. An example would be a building or facility scheduled to open in FY 2009 for which additional operating expenses would be required.

See Appendix F of these instructions for more on Form OYF.

Section 9: Capital Outlay Amendments

This section provides details on preparing capital budget requests.

Section 4-4.01g of the Appropriation Act limits capital budget requests in odd-numbered years to projects that have been bid and need additional funding and requests for projects that the Governor or General Assembly consider as emergency projects.

- **For projects that have been bid and need additional funding**, agencies should submit DPB Forms C-1, S-1, and CNJ.
- **For requests for emergency projects**, agencies should submit the DPB Forms H-1, C-1, S-1, and CNJ. In addition, if the project has a significant energy or technology component, you will need to prepare Department of Planning and Budget (DPB) Forms E-1 and T-1, respectively.
- **If you are requesting any new capital outlay leases or renewal of existing capital outlay leases**, you will need to submit Form CNJ and Form H-1. A “capital outlay lease” includes:
 - Any lease agreement involving the acquisition or improvement of real property, as that term is defined in the Commonwealth Accounting Policy and Procedures (CAPP) Manual;
 - The purchase of equipment by means of a capital lease agreement if the equipment meets the capital project definitions if it were purchased outright; or,
 - Any acquisition or improvement of real property financed by a lease agreement in which the project cost is equal to or exceeds \$5.0 million.
 - For purposes of the latter, “project cost” is equal to (1) the annual amount of the lease payments to the landlord multiplied by the number of years of the lease, including fixed renewal option periods exercisable by the Commonwealth, up to a maximum of 20 years or (2) the expected total of all annual lease payments over the term of the lease, including fixed renewal option periods exercisable by the Commonwealth, if the lease amount varies from year to year.
 - **Requests to authorize projects under the Public-Private Educational Facilities Infrastructure Act of 2002 (PPEA)** should be made using DPB Forms CNJ and H-1.

Below is a brief summary of the capital outlay forms. The forms and instructions can be found at <http://dpb.virginia.gov/forms/forms.cfm>.

- **DPB Form H-1: Summary, and financial information** - This form summarizes the size and scope of the project and provides estimates on the project’s cost.

- **DPB Form CNJ: Project request justification** - The project request justification presents the specific detailed information explaining the need for the project and describing why it is an emergency.
- **DPB Forms C-1, S-1, T-1, and E-1: Project definition worksheets** - These documents are used to identify design parameters and any special requirements associated with the project. Information from the worksheets will be used to establish a “design-to” construction budget, a “design-to” gross area, and a project design budget.

For capital budget requests, submit the appropriate budget request forms in electronic format using the format (agency code/form number/amendment number) to capitalbudget@dpb.virginia.gov and to your assigned DPB budget analyst.

Section 10: Legislative Reporting Requirements

Note: This section is required even if you are not submitting any budget requests.

The General Assembly has enacted provisions requiring agencies to report certain information. The forms and instructions can be found on the DPB Website (<http://dpb.virginia.gov/forms/forms.cfm>). Once completed, e-mail the form to your assigned DPB budget analyst by November 1, 2006. **NOTE:** Public institutions of higher education are exempted from completing Form FS and Form FF.

- **Federal spending.** Section 2.2-603 (E) of the Code of Virginia requires that agencies annually report each year the percentage of their spending that is from federal funds. **(Form FS)**
- **Federal grants.** Section 2.2-603 (E) of the Code, enacted by the 1997 General Assembly, requires agencies to compile information regarding federal contracts, loans, or grants in excess of \$1.0 million for which they may be eligible. (Your DPB budget analyst may be contacting you for additional information about your federal grants). **(Form FF)**
- **Organizational memberships.** Section 4-5.05 c2 of the 2006 Appropriation Act requires agencies to report on organizational memberships with annual dues of \$5,000 or more. **(Form OM)**

Section 11: Strategic Plan Updates

Note: This section is required even if you are not submitting any budget requests.

The strategic and service area planning model asks agencies to update their plans to reflect the budgetary actions taken by the Governor and the General Assembly. Included in the changes is the need to update your agency's service area financial and performance measure related data as impacted by budget actions. There may be agencies that do not need to make changes if their budget is the same as the one introduced by the Governor in December 2005. For information on how make specific changes to your plan, please refer to <http://dpb.virginia.gov/sp/sp.cfm>. **This is your agency's full plan, not "Key Objectives and Measures."**

- **Budget Service Area Plan Alignment.** Using the latest version of your strategic and service area template, update the financial information contained in Chapter 3 (Appropriation Act). If you do not have a copy of Chapter 3, access your agency's operating budgets at: <http://leg1.state.va.us/062/bud/TOC5.HTM>. Drill down through the appropriate secretariat to find your agency and service areas
- **Performance Measure and Objectives Alignment.** Modify agency objectives and performance measures, if necessary to reflect budgetary and programmatic changes reflected in Chapter 3 or any other legislation enacted as a result of 2006 General Assembly Session.

Appendix A

Instructions for completing the Decision Package Narrative Justification (Form NJ)

General Information

Please use the Microsoft Word format provided by DPB.

You can download the format for Form NJ from DPB's Web site (www.dpb.virginia.gov, then click on the "Documents & Forms" link in the blue column at left, then type in "Decision Package" in the Search window).

Complete a separate narrative justification for each decision package. Please put each narrative justification into a separate document in Microsoft Word. In addition, for each amendment request involving new positions, you must complete the DPB form "NP" position calculator and submit it along with each associated amendment Word document (NJ) form. Form NP is a Microsoft Excel file that can also be found on the DPB Website. As with the Form NJ, a separate form NP Excel file must be submitted for each amendment involving new positions.

For technical adjustments, you must complete Section 1 of Form NJ (the other sections are optional for technical adjustments). For all non-technical amendments, you must complete all of the items. If an item is not applicable, insert "N/A." Do not delete any items.

When you save the completed forms, name them according to the following convention: your agency's three-digit code, followed by "NJ," followed by the decision package number. Example: If you are agency 999 and you submit three decision packages numbered 300, 400, and 401, the files would be named 999NJ300.doc, 999NJ400.doc, and 999NJ401.doc. When submitting the new position Excel files (form NP), use the same naming convention (replace "NJ" with "NP"). Example: agency 999 amendment 400 involves new positions. The associated form NP file should be called 999NP400.xls.

Form NJ, Item-by-Item Instructions:

Section 1: Summary Information

- **Item 1. Agency name.** Type in the agency name.
- **Item 2. Agency code.** Insert your agency's three-digit code.
- **Item 3. Amendment number.** Use the three-digit category number as specified in the "Amendment Categories" section of these instructions. It is important that you use the SAME number here that you do in WebBEARS for the "addenda" number.
- **Item 4. Title.** Insert a short descriptive title (no more than 100 characters long). Remember that your title should begin with an action verb such as "increase," "add," "reduce," "transfer," "shift," "expand," etc.
- **Item 5. Priority.** Insert a number here indicating the priority your agency puts on each decision package with "1" as most important. (Your agency's most important budget amendment would be numbered "1," next most important, "2," etc. Do not use sub-categories such as "1a" and "1b"). No two amendments should have the same priority number.

- **Item 6. Summary of costs and positions.** Complete this table to summarize the overall resources required for the budget request. For each year, show the total general fund dollars, nongeneral fund dollars, personal services dollars, nonpersonal services dollars, and positions. Show negative numbers (reductions) in parentheses. You must cost out your proposal for six years taking into account one-time and start-up costs. Do not make any assumptions about future salary or fringe benefit cost increases. These will be handled centrally.
- **Item 7. Summary of nongeneral fund sources.** For nongeneral fund amounts requested, insert in the table the revenue source code, the fund/fund detail code, the title of the fund/fund detail, and the amount required for each year of the biennium. Add additional lines if needed for more revenue source codes or fund details. Also provide in the block marked “Explanation / comments on nongeneral fund sources” the methodology used to calculate the nongeneral fund amounts. *Note: Institutions of higher education should explain the impact on student tuition and fees of any requests for nongeneral fund dollars*
- **Item 8. Description (including discussion on need for request).** Summarize the actions your agency proposes to take with the requested dollars or position(s). If the decision package is for language only, explain what the language will allow the agency to do. In addition, provide detailed information to indicate the need for the proposed service. For example, is there a waiting list for services? If so, how long is the wait, how many individuals are on the list, what is the average wait time to receive services? Have demographic, weather, or other factors changed the need for the service? Cite quantitative data wherever possible.

Section 2: Expected Outcomes

- **Item 9. Consequences of not funding.** Indicate the consequences you expect if your proposal is not approved.
- **Item 10. Alternatives considered.** Indicate other alternatives you considered for accomplishing the objectives of the request and why you selected the proposed action. Briefly list the pros and cons of each alternative.
- **Item 11. What are the expected results to be achieved if this request is funded?** Describe the anticipated results or outcomes that your agency expects to accomplish if the proposal is approved. What issue or problem are you trying to resolve? Indicate how you will measure the success of the effort if this proposal were to be funded, giving the specific results that you expect should this proposal be funded.
- **Item 12. Does the request impact existing service area objective(s), targets, and/or measures?** Put an X in the appropriate box to indicate if your proposal impacts one or more of your agency objectives included in your agency Strategic and Service Area Plans. If yes, list the existing objectives, targets, and measures impacted in the table provided (insert additional rows if needed). In the block labeled “Explanation of / comments on objectives, measures and targets,” explain how funding the request will impact each. If no, consider providing a new objective or objectives and associated performance measures in your answer to Item 13.
- **Item 13. Does the request create new objective(s) and/or new measure(s)?** If the request creates new objectives, list them in the table provided under the “Objective(s)” column and insert and “X” in the “New Objective?” column. List the new measure or measures associated with the new objective or objectives under the “New Measures” column. If the request results in a new measure under an existing objective, list the objective in the “Objective(s)” column (leave the

“New Objective?” column blank) and insert the new measure in the corresponding “New Measures” column. In the block labeled “Explanation of / comments on objectives and measures,” explain the new objective(s) and/or measure(s).

Section 3: Detailed Cost Information

- **Item 14. Does the request contain one-time funding?** If the request involves additional funding, put an “X” in the “YES” box to indicate if it represents a one-time need. If the requested expenditures are made up of some one-time and some recurring costs, insert an “X” in the “YES” box, and explain and indicate how much of the request is one-time. Explain why you consider the funding to be one-time.
- **Item 15. Does the request contain recurring funding?** If the funding is recurring, put an “X” in the “Yes” box. If so, indicate and explain whether and why funding requirements in future years will be more or less than the current biennium.
- **Item 16. Does the request contain funding for the cost of new positions?** Put an “X” in the appropriate box to indicate if the amendment includes any personal services dollars involving new full-time (or part-time classified) positions. If yes, complete the separate form “NP” Excel file that can be found on the DPB Website (www.dpb.virginia.gov). A separate form NP should be completed for each amendment that involves new full-time or part-time classified positions. Enter the GF and NGF dollar totals from the bottom of Form NP and the total number of positions requested in the table provided. Explain the methodology used in determining the cost and other assumptions in the appropriate block. Also describe how these positions relate to the services to be provided through this proposal (i.e., Do these positions provide administrative support or do they deliver direct services?). For wage employees or other personal services cost requests, see Item 17.
- **Item 17. Does the request contain funding for personal services costs other than new positions?** Put an “X” in the appropriate box to indicate if the amendment request includes any personal services dollars that do not involve new full-time or part-time classified employees. For example, if the request includes funding for additional wage employees or a salary increase for a specific group of existing employees, then include the cost in this item. In the table provided, list each separate other personal services request and the associated costs. Explain the methodology used in determining the cost and other assumptions in the appropriate block.
- **Item 18. Does the request contain funding for nonpersonal services?** Put an “X” in the appropriate box to indicate if any nonpersonal services costs are included in the request. If yes, use the table to indicate by major object of expenditure the change in resources your agency is requesting for nonpersonal services. Identify and explain specific expenses such as grants and contracts, operating fixed assets, and debt service. **(Institutions of higher education must include information to justify any proposed increases in student fees.)**

Section 4: Other Information and Requirements

- **Item 19. Are the proposed services mandated?** Put an “X” in the appropriate box to indicate if the proposed services are mandated. If so, indicate what precisely the mandate requires and what is its origin (cite federal or state statutory provisions). **Note:** A service is not mandated if legislation enables or authorizes the service but does not require it.
- **Item 20. Will new legislation be required as a result of this request?** Put an “X” in the appropriate box to indicate if your request requires a legislative proposal to amend the Code of Virginia. If so, give the proposal identification number and summarize the proposal. If the

legislation has not been submitted to the Governor’s Policy Office to date, when will it be, and where is it now? Indicate why the legislation is essential for the success of the request. If the proposal does not involve any needed legislation, indicate “No.”

- **Item 21. Is Appropriation Act language required as part of this request?** Put an “X” in the appropriate box to indicate if there is a need to add, revise, or delete language in the Appropriation Act. (If so, please include a detailed explanation of the language changes required.)

The Following Form NJ is provided as “information only” as part of the instructions. You can download the Form NJ without the attached instructions from the DPB Web site.



Virginia Department of Planning and Budget
Decision Package Narrative Justification (Form NJ)

Section 1: Summary Information

1. Agency name: _____ 2. Agency code: _____

3. Amendment number: _____ 4. Title: _____

5. Priority of this decision package: _____

6. Summary of costs and positions

	GF Dollars	NGF Dollars	Personal Services Costs	Nonpersonal Services Costs	GF Positions	NGF Positions
FY 2007						
FY 2008						
FY 2009						
FY 2010						
FY 2011						
FY 2012						

7. Summary of nongeneral fund sources. (For nongeneral fund amounts only, complete the table below):

Revenue Source Code	Fund/ Fund Detail Code	Fund/Fund Detail Title	FY 2007 amount	FY 2008 Amount

(Insert additional rows as needed)

Explanation of/ comments on nongeneral fund sources:

8. Description (Including discussion on need for request):

Section 2: Expected Outcomes (this section optional for technical adjustments)

9. Consequences of not funding:

10. Alternatives considered:

11. What are the expected results to be achieved if this request is funded?

- 12. Does the request impact existing service area objective(s)?** YES NO
If yes, complete the following table:

List the existing objective(s) impacted below

(Insert additional rows as needed)

- 13. Does the request create new objective(s) and/or new measure(s)** YES NO
If yes, list the new objective(s) and associated measure(s) in the following table:

Objective(s)	New Objective?	New Measure(s)

(Insert additional rows as needed)

Explanation of / comments on objectives and measures:

Section 3: Detailed Cost Information (this section optional for technical adjustments)

- 14. Does the request contain one-time funding?** YES NO
Explanation of one-time funding:

- 15. Does the request contain recurring funding?** YES NO
Explanation of recurring funding:

- 16. Does the request contain funding for the cost of new positions?** YES NO
If yes, complete a copy of Form NP (Excel file) and include it with your submission. Enter the totals from the Form NP file in the table below. (Make sure the attached Form NP file is named with your agency code and the amendment number for this request.)

New Positions Request (See Form NP For Details)	GF Dollars	NGF Dollars	GF Positions	NGF Positions
FY 2007				
FY 2008				

Explanation of and methodology used in request for new positions:

17. Does the request contain funding for personal services costs other than new positions? (example; added wage employees or a job class regrade) YES NO

If yes, complete the following table:

Other Personal Services Items	FY 2007GF	FY 2007NGF	FY 2008 GF	FY 2008NGF

(Insert additional rows as needed)

Explanation of and methodology used in other personal services costs request:

18. Does the request contain funding for nonpersonal services? YES NO

If yes, complete the following table:

	FY 2007GF	FY 2007NGF	FY 2008 GF	FY 2008NGF
Contractual Services				
Supplies & Materials				
Transfer Payments				
Continuous Charges				
Property & Improvements				
Equipment				
Plant & Equipment				
Obligations				

Explanation of and methodology used in nonpersonal services request:

19. Does the request contain grant funding? YES NO

Explanation of grant funding:

Section 4: Other Information and Requirements (this section optional for technical adjustments)

20. Are the proposed services mandated? YES NO

Explanation of mandate:

21. Will new legislation be required as a result of this request? YES NO

Explanation of required legislation:

22. Is Appropriation Act language required as part of this request? YES NO

Explanation of required Appropriation Act language:

Appendix B

Instructions for completing the New Position Detail (Form NP)

GENERAL INFORMATION

(All data entry is on the “Position Calculator” sheet, You only need to enter data under items one through six and at the bottom of the sheet (to array the totals by GF and NGF). Do not change any formulas on the sheet, or the costs will not be calculated correctly. You may delete empty rows if you do not need them. In addition, you may insert additional rows, however, you must copy the formulas into the newly inserted rows in order to ensure that the costs are authorized correctly.

Step 1: For each position, enter a position title or other descriptive info.

Step 2: Select the retirement type for each position. (Regular VRS, VaLORS, SPORS, judges’ retirement, or defined contribution.)

Step 3: Indicate whether each individual/position participates in the deferred comp match program (Yes/No option).

Step 4: Enter the annual salary for each position.

Step 5: Select a health premium. The statewide average, or the actual employer premium for single, employee plus one, and family coverage can be selected.

Step 6: Enter the number of pay periods of funding for each year.

Step 7: For each year, identify the general fund and nongeneral fund share for the totals at the bottom of the spreadsheet. Include these amounts along with the total authorized positions you are requesting in item 16 of the Form NJ Word document for this amendment.

-No further data entry is required. The cost of the positions will be calculated based upon the data you entered. Scroll to the right of the “Position Calculator” sheet to see the calculated cost. Look at the “Benefit Rates” sheet to see the fringe rates used.

The Following Form NP is provided as information only as part of the instructions. You must download the Form NP from the DPB web site in order to utilize the preset formulas.

Appendix C

Instructions for Completing DPB Form TR-1 Technology Project Profile

The DPB Form TR-1 must be prepared in addition to the Decision Package Narrative Justification (Form NJ) for each information technology proposal (regardless of cost and regardless of whether submission is a new initiative or supplement to an existing system), your agency must both forms concurrently to DPB by October 18, 2006.

This form is used to describe the general scope of work and cost estimates for technology projects. This project should have been included in your agency's IT Strategic Plan submitted to the Virginia Information Technologies Agency (VITA). If it was not included, you must explain on the DPB Form TR-1 in Section B, Item 1.

Direct any questions regarding the requirements for these submissions to Constance Scott at the Virginia Information Technologies Agency, (804) 371-5927 or e-mail address: constance.scott@vita.virginia.gov.

If you do not have the in-house expertise to complete this form (especially Section B, Items 3 and 4), please contact VITA at the telephone number above for assistance.

A. General Information

Item #1. Agency Name. Enter your agency's name.

Item #2. Agency Code. Enter the three-digit code for your agency.

Item #3. Project Title. Enter the technology project title.

Item #4. Building Name(s). Enter the name of the building(s) in which the technology project is proposed.

B. Technology Project Information

Item #1. Description of the technology component of the request. Enter a brief description of the proposed scope of work for the technology component of the project.

Item #2. Enterprise Architecture function(s) affected: Identify your agency's Enterprise Architecture functions that would be impacted if the request were funded.

Item #3. Total technology cost estimate. Indicate the technology-related cost of this project, along with the incidental costs of materials, labor, engineering and design, etc. Other costs can

include such things as the services relating to the analysis, design, placement, training, and monitoring of such equipment or systems.

Item #4. Explain how the technology cost estimate was developed. Explain methodology used to develop the technology cost estimate and source(s) of costing information.

Item #5. Explain if not in IT strategic plan. If the proposed project was not included in your agency's IT Strategic Plan that was submitted to VITA, please explain why the project was not included, and why it is now needed and impact if not approved.

The Following Form TR-1 is provided as information only as part of the instructions. You must download the Form TR-1 without the attached instructions from the DPB web site for submittal and should be submitted to constance.scott@vita.virginia.gov and to your assigned budget analyst. Submittals should be named using the following naming convention: your agency's three-digit code, followed by "TR-1," followed by the decision package number.

DPB Form TR-1 Technology Project Profile



Virginia Department of Planning and Budget
September 2006

A. General Information

1. Agency Name: _____ 2. Agency Code: _____
3. Project Title: _____
- _____

B. Technology Project Information

Important: Have you already provided a Project Proposal Document to VITA's PMD Division for this request? If so, you do not need to fill out the remainder of this form, as it will be made available to DPB by way of VITA. If not, please fill out the rest of this form in its entirety.

If you are submitting a budget decision package for a project baseline change to an existing active project that requires additional funding, please file a proposed change request package with PMD and reference this package in your TR-1 form. You do not need to fill out the remainder of this form.

1. Project Description

Describe the project approach, the specific solution, customer(s) served, and expected benefits. The approach is the overall strategy for solving the Business Problem. The solution should identify in specific terms how the project is accomplished and include information about the general timing and cost of major procurements or purchases. If the Project Analysis Worksheet was completed, the Preliminary Project Description (Section C) and the Recommendation (Section G) on the worksheet provide information to support development of the Project Description.

2. List the Lines of Business and Functions from the Enterprise Business Model that this IT Investment Supports.

3. Total Technology Cost Estimate:

Estimate of Execution Expenditures and Funding

Provide an Estimate of the Expenditures and Funding required for execution and close out of the project

Estimated Expenditures							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
Internal Staff Labor							
Services							
Software Tools							
Hardware							
Materials and Supplies							
Facilities							
Telecommunications							
Training							
IV & V							
Contingency (Risk)							
Total							
This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []							
Explanation:							
Anticipated (proposed) Funding Source (\$000)							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
General Fund							
Non-General Fund							
Federal							
Other							
Total							
This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []							
Explanation:							

Estimate of Operations Expenditures and Funding

Provide an Estimate of the Expenditures and Funding for Operations and Maintenance of the asset(s) delivered upon project completion.

Estimated Expenditures							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
Internal Staff Labor							
Services							
Software Tools							
Hardware							
Materials and Supplies							
Facilities							
Telecommunications							
Training							
Contingency (Risk)							
Total							
This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []							
Explanation:							
Anticipated (proposed) Funding Source (\$000)							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
General Fund							
Non-General Fund							
Federal							
Other							
Total							

This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []

Explanation:

4. Explain how technology costs estimates were developed.

5. Strategic Justification.

Answer the following questions in the space provided. Attach detailed explanations and analysis as appendices.

1. Briefly, describe how this project supports or is consistent with the Commonwealth of Virginia Strategic Plan for Technology. If it does not support the Commonwealth of Virginia Strategic Plan for Technology, explain why this project proposal is being submitted.

2. Explain where and how this project is identified in the Agency IT Strategic Plan most recently approved by the *Chief Information Officer*. If it is not identified in the plan, explain why this budget decision package is being submitted.

3. Briefly, describe how the planned solution complies with Commonwealth Enterprise Architecture Standards. If it does not comply with the Commonwealth Enterprise Architecture Standards, explain why this Budget Decision Package is being submitted, and identify which Commonwealth Enterprise Architecture Standard(s) are not being met.

4. List the service areas supported by this investment.

NOTE: Please be sure to send this form to both DPB and VITA's Project Management Division (PMD).

Appendix D

Capital Project Request Summary and Financial Information

Instructions for DPB Form H-1

This form has four functions. First, it is used to summarize the size, scope, budget, and the funding needs for projects being requested for the 2006-2008 biennium. Second, it is used to request new capital leases along with the DPB Form L-1. Third, this form is used to describe and justify the subprojects within an umbrella project. A Form H-1 **must be** completed for every subproject within an umbrella project. Finally, this form is used to provide a general description, justification, and cost estimate for projects being requested in the second and third biennium of your agency's six-year plan. **All sections of this form must be prepared for projects being requested for the 2006-2008 biennium.** Sections B and C can be omitted for projects being requested for the 2008-2010 and 2010-2012 biennia. The DPB Form H-1 does not need to be completed for your agency's maintenance reserve request. In addition, if an agency has approved VCBA or VPBA projects that are lower priorities than projects being requested for the 2006-2008 biennium, the agency must submit a DPB Form H-1 for those bond-funded projects and show the new priority for those projects. You only need to complete Sections A and G of the Form H-1. In the project narrative (Section G), you should reference the current project number, explain why the project is no longer a priority, including the impact if it is removed from the approved bond list.

Round all dollar requests on this form to the nearest \$1,000.

Date the form.

General Information (First Tab)

- Item #1. Agency Code.** Enter the three-digit agency code for your agency.
- Item #2. Agency Title.** Enter your agency's name.
- Item #3. Project Title.** Give the new project a clear, descriptive title beginning with an action verb such as "construct" or "renovate".
- Item #4. Agency Priority.** Number projects sequentially for the entire agency or system (such as the Virginia Community College System) beginning with number 2 as the highest priority as a stand-alone project. **Do not include maintenance reserve in this prioritization even though maintenance reserve projects are always the first priority in any given biennium. Maintenance reserve will be submitted on a separate form.** This prioritization ranks all projects other than maintenance reserve. **Do not** prioritize general fund and nongeneral fund projects separately. No two projects should have the same priority number.

If the form is being completed for a subproject within an umbrella project, assign the same priority number to each subproject. However, you should assign a second priority number

that will indicate the ranking of the subproject within the umbrella project. For example, the fourth priority subproject within an umbrella project that is the 10th overall priority for the agency would have the priority number “10.4” listed on this form.

- Item #5. Biennium for which project is proposed.** Choose the appropriate biennium.
- Item #6. Project ID Number.** No entry needed. This element will be created automatically.
- Item #7. Location of Project.** Enter the name of the city or county in which the project is to be located. If the project is intended to serve a number of localities, enter the name of the region. If it includes projects all over the state, enter “statewide.”
- Item #8. Project Category.** Choose the category that best describes the project -- acquisition, new construction, improvements-infrastructure repairs, improvements-life safety code, improvements-handicapped accessibility, improvements-environmental, or equipment, planning, demolition.
- Item #9. Proposed Financing Method.** Select a proposed financing method--pay as you go, bonds-9C, bonds-9D, bonds-VPBA, bonds-VCBA, or capital outlay lease agreement.
- Item #10. Name of Person to Contact about this Project.** Enter the name of the person to contact who can answer specific questions concerning the information provided on the form.
- Item #11/12. Contact Person’s Telephone Number and E-mail Address:** Enter the telephone number and e-mail address of the contact person.

Scope of Project (Tab B).

Section B. Project Scope. (Complete this section only for projects requested in the first biennium of the six-year plan.)

In each item, cost refers to total project cost.

- Item #1. Acquisition-- Property.** Enter the size of the acquisition in terms of total acres and the cost per acre for property (land).
- Item #1a. Acquisition--Plant.** Enter the size of the acquisition in terms of total square feet and the cost per square foot for plant (buildings).
- Item #2. New Construction.** Enter the total square feet and cost per square foot for new construction.
- Item #3. Improvements.** Enter the total square feet and cost per square foot of the improvements to existing structures.

Item #4. Capacity. If applicable, enter the number of beds and the cost per bed. (This will be applicable to such projects as hospitals, dormitories, or prisons.)

Section C. Status of Utilities and Land (Complete this section only for projects requested in the first biennium of the six-year plan.)

Indicate the status of existing utilities (power, water, sewer, and heat) and land for the project as either sufficient or insufficient to support the building and any increases in the building capacity that result from the project.

Project Funding (Tab C)

Section D. Prior Funding Information

Enter information concerning prior biennium appropriations, if applicable.

Item #1. Was this project funded previously? If “Yes,” please complete items 2 through 6 of this section. If “No,” go to the Section E.

Item #2. Amount and fund type. Enter the amount of the prior appropriation and the funding source(s)-name of fund or number.

Item #3. Biennium. Enter the biennium in which the project received funding.

Item #4. Chapter number. Enter the chapter number of the Appropriation Act.

Item #5. Chapter date. Enter the date in which the project received funding.

Item #6. Appropriation Act item number. Enter the Appropriation Act item number for the project. This is not applicable for certain bond projects.

Item #7. Project number. Enter the five-digit project code assigned to the project.

Section E. Requested Amount

Item #1. Fund Title. Enter the title for each source of funds for the proposed project budget.

Item #2. Fund Code. Enter the four-digit fund-detail code for the source of funds for the project.

Item #3. Amount Requested. Enter the requested amount for each of the sources of funds for the project. After all entries, show the total project cost. This total should equal the total on line 9 of Section F. *Round all entries to the nearest \$1,000.*

Project Cost (Tab D)

Section F. Project Cost

In preparing the project budget, base all estimates on current year dollars projected to the time at which you anticipate that the construction would be at the mid-point. If this request is to supplement an existing project, section F should only reflect the additional dollars being requested. **Round all estimates to the nearest \$1,000.**

- Item #1. Acquisition.** Enter any acquisition costs.
- Item #2. Building and built-in equipment.** Enter construction and built-in equipment costs.
- Item #3. Sitework and utilities.** Enter site and utilities costs.
- Item #4. Architectural and engineering fees.** Enter architectural and engineering fees.
- Item #5. Loose furnishings and equipment.** Enter the estimated cost of loose furnishings and equipment (not affixed to the building).
- Item #6. Contingencies (2 percent).** Enter the estimated construction contingency amount to cover contract change orders. This amount can be no more than **two percent** of the sum of the estimated construction, site, and utility costs.
- Item #7. Project inspection.** Enter the estimated cost of the project inspection. This should not include any costs for inspectors funded from the agency's operating budget.
- Item #8. Other costs.** Enter the estimated costs of surveys, test borings, testing, advertisement, reproduction, rerouting of public utilities, and any other cost elements not covered in the preceding categories.
- Item #9. Total Cost.** Enter the total project budget request.
- Item #10. Estimated planning cost.** This is the amount needed to fund planning costs from schematics through working drawings. Usually this amount is 75 percent of the architectural and engineering fees.

Section G. Operating and Maintenance Costs

The estimated planning cost amount is included as part of the total project budget identified above.

Provide cost estimates for operating and maintaining the facility after it is completed. This estimate should represent any new costs over and above current funding levels or savings resulting from the new capital project. These costs will be incurred primarily for new construction or renovation projects. Facility operating and maintenance costs are those related to the running and upkeep of the facility. It includes the cost to staff **new** programs and activities that will be housed in the space. If the project will be acquired through a capital lease agreement, indicate the amount of the annual lease payment.

The first year should include any start-up costs and the second year should reflect the anticipated annual operating costs.

- Item #1. Personal services.** Enter the total **new** personal service costs of the employees needed to operate and maintain the facility. Salaries should reflect those in current compensation plans.
- Item #2. FTE employees.** Enter the total number of **new** employees needed to operate and maintain the facility. Carry out the position requirements to two decimal points.
- Item #3. Nonpersonal services.** Enter total of **new** nonpersonal service costs, except for equipment costs, associated with operating and maintaining the facility.
- Item #4. Equipment.** Enter the total of **new** equipment costs associated with operating and maintaining the facility. This does not include equipment costs identified in the project cost (Section F).
- Item #5. Total cost.** Enter the sum of items 1, 3, and 4.
- Item #6. One-time costs.** Enter the amount of the total costs (shown in Item 5) that is a one-time expenditure.
- Item #7. Cost savings.** Enter any operating cost savings to be derived as a result of the project.
- Item #8. FTE savings.** Enter any position reductions to be derived as a result of the project. Carry position savings to two decimal points.
- Item #9. Planned start date.** Complete Item 9 if the planned start date for the new operations and maintenance costs is other than the start of the fiscal year.

Section H. Itemization of Other Costs

Itemized “Other Costs (Tab E)”

--- (Complete this section only for projects requested in the first biennium of the six-year plan.)

The categories in this section are consistent with the “Other Cost” itemization that has been added to the reverse side of the Capital Outlay (CO) forms. Most of the categories are self-explanatory and are intended to cover the many miscellaneous items that are not included within the following primary cost categories:

- Building and built-in equipment,
- Sitework and utilities,
- Architectural and engineering fees,
- Loose furnishings and equipment,
- Project inspection, and

- Contingencies.

“Other Costs” include agency administrative expenses, special consultants, testing services, estimates, value engineering studies, printing, advertising, and moving expenses. Obviously not every “Other Cost” item listed on this form applies to every project, nor is every conceivable “Other Cost” item listed on the form. As appropriate, include additional items, such as carpet purchased via state contract.

Several agencies cover some of the listed “Other Costs” categories from their operating funds. Do not show a cost figure for “Other Costs” items that will be funded in this manner. Only those costs that will be funded from capital appropriations should be itemized. **It will be assumed that all “Other Costs” not itemized either do not apply to this project or will be funded from the agency’s operating funds.** Item one asks for project management that will be funded from operating funds. This is an informational item only

Item #2. Special Consultants. Examples of special consultants include contracts for acoustics, interior design, or archeological surveys. Itemize each of these expenses.

Item #6. Value Engineering. Value engineering is required for all projects costing in excess of \$5.0 million unless waived by the DGS Director.

Item #7. Subsoil Investigations. Examples of subsoil investigations include borings and geotechnical reports.

Item #13. Miscellaneous Utility charges. Examples of miscellaneous utility charges include relocations, connection fees, or data and audiovisual wiring.

Item #15. Miscellaneous Other Costs. Itemize all miscellaneous other costs.

Item #16 Total Other Costs. The sum of items 1 through 15.

Project Schedule (Tab F)

Section I. Project Schedule

Item #1. Projected Time to Select Architect and Engineer. Enter the number of months you estimate for selecting an architect or engineer once funds for the project become available. Assume funds become available on July 1.

Items #2-9 Self explanatory. The number of months reported should be the number of months from completion of the previous milestone in the project schedule.

Project Narrative (Tab G)

Section J. Narrative Information

This section should be used to describe and justify the need for the project. The need must be demonstrated from several perspectives, including the agency's programs and activities and the condition of its existing facilities. The narrative should be as thorough and complete as necessary. The quality of your submission is extremely important. Remember who your audience is for this submission and **do not** use technical engineering terms and jargon. Decision-makers may only have your narrative as the basis for considering the merits of your request.

If funding is being requested in the 2006-08 biennium for a project not included in the 2006-2012 six-year capital plan, you must explain why it was not anticipated and made part of the plan.

If additional funding is being requested to cover anticipated cost overruns for a currently approved and funded project, your narrative justification must also address scope changes or other actions that would be needed to keep the project within its current budget.

For institutions of higher education: Include information on fees increases that may be required to finance the requested capital project.

Instructions for DPB Form C-1 Project Cost Profile

This form is to be prepared only for projects authorized for detailed budget development during the 2006-2008 biennium. The C-1 and S-1 forms are combined in a single Excel spreadsheet format to facilitate completion by the requesting agency and to facilitate review by the central agencies. A number of embedded calculations and hyperlinks have been incorporated into this new format to simplify the completion and review of these documents. Several macros are also contained within the file to facilitate printing. To take advantage of these macros, you must select “enable macros” when opening the file.

The DPB Form C-1 has two functions. For the requesting agency, the form serves as a checklist to ensure that all project expenses have been considered by the agency and that allowances for these expenses have been included within the budget request. For central agencies, this itemization provides a more in-depth understanding of the proposed budget and the overall project scope, in a format that is uniform and consistent across all agencies. After completing the DPB Form C-1, compare the summary cost figures on the Form C-1 to the associated lines on DPB Form H-1, Tabs D and E. If any figures differ, please provide an explanation on DPB Form CNJ, Project Request Justification. **It will not be necessary to revise the Form H-1.**

INSTRUCTIONS:

- ✓ **Identify the biennium - - 2006-2008 - - and date the form**
- ✓ **Save each proposal as a separate Excel file. Use the following file naming convention:
agency code – priority – biennium - C1S1 – brief description.xls
(e.g., “207 – 12 - 2004-2006 - C1S1 – Renovate Miller Center.xls”)**
- ✓ **Round all dollar requests on this form to the nearest \$1,000.**
- ✓ **Various sections of this form request backup information. This form must be sent electronically. Supporting documents may be sent electronically or in hard copy. See Section IV of the basic capital outlay instructions for number of copies and addresses.**
- ✓ **The instructions contained in this document address content. Additional instructions for working within the spreadsheet file are accessible from the Main Menu page of the spreadsheet proper.**

Section A. General Information

Item 1. Agency Name. Enter your agency’s name.

Item 2. Agency Code. Enter the three-digit agency code for your agency.

Item 3. Project Title. Give the new project a clear descriptive title.

Item 4. Agency Priority. Number from the DPB Form H-1.

Item 5. Proposed Construction Bid Date. Enter the anticipated bid receipt date for this project. (Do not leave this field blank as it is critical for the evaluation & application of cost escalation.)

Section B. Acquisition Cost

Item 1. Proposed Budget. Enter the total proposed acquisition budget shown in Item 3 (a).

Item 2. Method Used to Develop Budget. Identify the method used to develop the proposed acquisition budget. If the budget was based on a method other than comparative (similar) properties, a negotiated price, or an appraisal, provide an explanation of the method used. **Send copies of the appropriate backup materials listed on the form to DPB.**

Item 3. Itemization of Proposed Acquisition Costs. List all costs related to the acquisition of the property, including purchase price, appraisal fees, surveys, environmental hazard assessments (asbestos, contaminated soils, lead-based paint, etc.), cost escalation (if purchase will be deferred until some future date), closing costs, and any other miscellaneous cost associated with the purchase. If escalation was included, list the anticipated purchase date.

Item 4. Comparative Properties and Unit Costs. If comparative properties were used as the basis for the budget, list each and its associated unit cost per acre or per square foot.

Section C. Building and Built-in Equipment

Item 1. Proposed Budget. Enter the total proposed building and built-in equipment budget supported by the details in this section.

Item 2. Method Used to Develop Budget. Identify the method used to develop the proposed building and built-in equipment budget. Identify if the proposed budget was based on the cost of comparative (similar) projects, cost reference guides (Means, Marshall & Swift, etc.), a professional estimate, or some other method. **Send copies of the appropriate backup materials listed on the form to DPB.**

Item 3. Description of Other Method. If the budget was developed using a method other than comparative projects, reference guides, or a professional estimate, describe the method used and include supporting details.

Table C-1 Comparative Projects. For each comparative project used as a basis for developing the proposed building and built-in equipment budget, identify the following:

Item a. Project title. Enter the title of the project.

Item b. Owner. Identify the project's owner.

Item c. Project location. Identify where the project is located.

Item d. Award Date. Provide either the date the project was bid or the date the construction contract was awarded.

Item e. Gross Area. Provide the gross project area.

Item f. Key Quantity. List major project quantities, other than gross area. For example, for a dormitory, enter the number of beds; for a prison, the number of cells; for a parking deck, the number of spaces, etc.

- Item g. Construction Award Amount.** Enter the awarded construction contract amount, including building, built-in equipment, sitework, and utilities.
- Item h. Building & Built-in Equipment Amount.** Enter only the building and built-in equipment portion of item g.
- Item i. Building & Built-in Equipment Cost per GSF.** Formula driven. Item h divided by Item e.
- Item j. Proposed Project's Gross Area.** Enter the gross area of the proposed project. The area should match the Total Project Gross Area identified in Section E of the Project Scope Profile, DPB Form S-1.
- Item k. Subtotal, Adjusted for Size.** Formula-driven. Item i multiplied by Item j.
- Item l. Escalation.** Include escalation appropriate for period between the comparative project's bid or award date (Item d) and the bid date for the proposed project (Section A, Item 5).
- Item m. Subtotal, Adjusted for Escalation.** Formula-driven. Item k plus Item l.
- Item n. Other Cost Adjustments.** Enter other cost adjustments (i.e., other than size or escalation) to make the comparative project equivalent to the proposed project in terms of scope, location, complexity, etc.
- Item o. Total Comparative Cost.** Formula-driven. Item m plus Item n.
- Item p. Itemization of Adjustments.** Describe the adjustments (plus or minus) which were made to make the comparative project equivalent to the proposed project in terms of scope, location, complexity, etc. Itemize the cost adjustments taken in Item n above.

Table C-2 Reference Guides. For each reference guide used as a basis for developing the proposed building and built-in equipment budget, identify the following:

- Item a. Reference Guide Used.** Enter the name of the cost reference guide which was used (e.g., R.S. Means, Marshall & Swift, Boeckh, Tradeline, etc).
- Item b. Reference Guide Volume.** Identify the specific document used (e.g., *Means Square Foot Costs*, *M&S Valuation Service*, etc.)
- Item c. Reference Guide Data Date.** Identify the "as of" date for the prices in the cost guide. For example, the prices in R.S. Means' *Square Foot Cost Guide 2002* are current as of January 2002
- Item d. Reference Guide Page Number.** Indicate the specific page or other identification number where the cost data can be located.
- Item e. Reference Guide Item.** Identify the specific item cited, for example, a 5-10 story office building,

- Item f. Construction Cost per GSF.** Identify the construction unit cost per GSF published in the Cost Guide.
- Item g. Building & Built-in Equipment Cost/GSF.** Identify only the building and built-in equipment portion of item f.
- Item h. Proposed Project's Gross Area.** Enter the gross area of the proposed project. The area should match the Total Project Gross Area identified in Section E of the Project Scope Profile, DPB Form S-1.
- Item i. Subtotal, Adjusted for Size.** Formula-driven. Item g multiplied by Item h.
- Item j. Escalation.** Include escalation appropriate for period between the reference guide's "as of" or "data date" (Item c), and the bid date for the proposed project (Section A, Item 5).
- Item k. Subtotal, Adjusted for Escalation.** Formula-driven. Item i plus Item j.
- Item l. Other Cost Adjustments.** Enter other cost adjustments (i.e., other than size or escalation) to make the reference guide data equivalent to the proposed project in terms of scope, location, complexity, etc.
- Item m. Total Comparative Cost.** Formula-driven. Item k plus Item l.
- Item n. Itemization of Adjustments.** Describe the adjustments (plus or minus) which were made to make the reference guide equivalent to the proposed project in terms of scope, location, complexity, etc. Itemize the cost adjustments taken in Item l above.

Section D. Sitework and Utilities

- Item 1. Proposed Budget.** Enter the total proposed sitework and utilities budget supported by the details in this section.
- Item 2. Method Used to Develop Budget.** Identify the method used to develop the proposed sitework and utilities budget. Identify if the proposed budget was based on the cost of comparative (similar) projects, a percent of building cost, a professional estimate, or some other method. **Send copies of the appropriate backup materials listed on the form to DPB.**
- Item 3. Percent of Building Cost.** If the budget was developed using a percentage of building costs, complete this table. Identify the data source (i.e., list the project name or other reference source that was used). Also show the data source's sitework and utilities cost as a percent of building and built-in equipment cost. List any significant differences in scope between the data source and the proposed project that could account for any differences in the rates. Also complete the following:
 - Item a. Proposed Percentage Rate.** Using the data source's percentages for guidance, list the chosen percentage rate.
 - Item b. Proposed Building & Built-in Equipment Budget.** Formula-driven. The cost figure from Section C, Item 1.

Item c. Total Proposed Sitework & Utilities Budget. Formula-driven. Item a multiplied by Item b. Carry the amount forward to Item 1 above.

Item 4. Description of Other Method. If the budget was developed using a method other than comparative projects, percent of building cost, or a professional estimate, describe the method used and include supporting details.

Table D-1 Comparative Projects. Embedded Excel worksheet. For each comparative project used as a basis for developing the proposed sitework & utilities budget, identify the following:

Item a. Project Title. Enter the title of the project.

Item b. Owner. Identify the project's owner.

Item c. Project Location. Identify where the project is located.

Item d. Award Date. Provide either the date the project was bid or the date the construction contract was awarded.

Item e. Gross Area. Provide the gross project area.

Item f. Key Quantity. List major project quantities, other than gross area. For example, for a dormitory, enter the number of beds; for a prison, the number of cells; for a parking deck, the number of spaces; etc.

Item g. Construction Award Amount. Enter the awarded construction contract amount, including building, built-in equipment, sitework, and utilities.

Item h. Sitework and Utilities Amount. Enter only the sitework and utilities portion of Item g.

Item i. Escalation. Include escalation appropriate for the period between the comparative project's bid or award date (Item d) and the bid date for the proposed project (Section A, Item 5).

Item j. Subtotal, Adjusted for Escalation. Formula-driven. Item h plus Item i.

Item k. Other Cost Adjustments. Enter other cost adjustments (i.e., other than size or escalation) to make the comparative project equivalent to the proposed project in terms of scope, location, complexity, etc.

Item l. Total Comparative Cost. Formula-driven. Item j plus Item k.

Item m. Itemization of Adjustments. Describe the adjustments (plus or minus) which were made to make the comparative project equivalent to the proposed project in terms of scope, location, complexity, etc. Itemize the cost adjustments taken in Item k above.

Section E. Architectural and Engineering Fees

Item 1. Proposed Budget. Formula-driven. The total proposed architectural and engineering (A/E) fee budget from Item 5, part f, below.

Item 2. Method Used to Develop Budget. Identify the method used to develop the proposed A/E fee budget. Identify if the proposed budget was based on a negotiated price, a percent of construction cost, a detailed estimate, or some other method. **Send copies of the appropriate backup materials listed on the form to DPB.**

Item 3. Percent of Construction Cost. If the budget was developed using a percentage of the construction cost, complete this table. For Items a, b, and c listed below, show both the Construction and Professional Services Manual (CPSM) guideline fee percentage and the agency-proposed fee percentage. For an explanation of A/E basic services, refer to Chapter 5 of the CPSM; for additional services and reimbursable expenses, refer to Chapter 6 of the CPSM.

Item a. Fee Percent for Design Phase Services. List the fee percentage to provide basic A/E services for the schematic, preliminary, and working drawing design phases.

Item b. Fee Percent for Bidding, Construction, and Closeout Services. List the fee percentage to provide basic A/E services for these post-design activities.

Item c. Total Fee Percent for Basic Services. Formula-driven. Item a plus Item b.

Item d. Rationale for Difference from Guidelines. If the agency-proposed fee percentage for either Item a or Item b above differs from the CPSM guideline fee percentage, provide an explanation.

Item 4. Description of Other Method. If the budget was developed using a method other than negotiated price, percent of construction cost, or a detailed estimate, describe the method used and attach supporting details.

Item 5. A/E Fee Summary. Complete this summary table regardless of the manner used to develop the proposed A/E fee budget:

Item a. Fee Amount for Design Phase Services. List the fee amount to provide basic A/E services for the schematic, preliminary, and working drawing design phases. If special consultants have been included in the Other Cost budget, do not include them here.

Item b. Fee Amount for Bidding, Construction, and Closeout Services. List the fee amount to provide basic A/E services for these post-design activities.

Item c. Fee Amount for Additional Services. List the fee amount to provide any additional services not included in basic services. Provide a listing of specific additional services items included in this figure.

Item d. A/E Reimbursable Expenses. List the amount included for reimbursable expenses (other than site visits). Provide a listing of specific reimbursable items included in

this figure. If reproduction, shipping, and other such expenses have been included in the Other Cost budget, do not include them here.

- Item e. A/E Site Visits.** List the amount included for reimbursable expenses for site visits. Include only reimbursable expenses; the wages paid for site visits should be included in Item b.
- Item f. Total Proposed A/E Fee Budget.** Formula-driven. The sum of Items a, b, c, d, and e. This figure is carried forward to Item 1 above.

Section F. Loose Furnishings and Equipment

- Item 1. Proposed Budget.** Enter the total proposed loose furnishings and equipment budget supported by the details in this section.
- Item 2. Method Used to Develop Budget.** Identify the method used to develop the proposed loose furnishings and equipment budget. Identify if the proposed budget was based on an itemized and priced list of furnishing and equipment requirements, a percent of the building and built-in equipment cost, dollars per square foot, or some other method. **Send copies of the appropriate backup materials listed on the form to DPB.**
- Item 3. Percent of Building & Built-in Equipment Cost.** If the budget was developed using a percentage of the building & built-in equipment cost, complete this table. Identify the data source (i.e., list the project name or other reference source that was used). Also list the data source's loose furnishings and equipment cost as a percent of building and built-in equipment cost. List any significant differences in scope between the data source and the proposed project that could account for any differences in the rates. Also complete the following:
 - Item a. Percentage Rate Proposed.** List the proposed percentage based on the data sources cited.
 - Item b. Proposed Building & Built-in Equipment Budget.** Formula-driven. The amount from Section C, Item 1.
 - Item c. Proposed Loose Furnishings and Equipment Budget.** Formula-driven. Item a multiplied by Item b.
- Item 4. Dollars per Square Foot.** If the budget was developed using dollars per square foot of gross building area, complete this table. Identify the data source (i.e., list the project name or other reference source that was used). Also list the data source's loose furnishings and equipment cost per gross square foot. List any significant differences in scope between the data source and the proposed project that could account for any differences in the rates. Also complete the following:
 - Item a. Proposed Dollars per Square Foot.** List the proposed rate based on the data sources cited.
 - Item b. Proposed Building Gross Area.** Enter the affected gross area for the proposed project.

Item c. Proposed Loose Furnishings and Equipment Budget. Formula-driven. Item a multiplied by Item b.

Item 5. Description of Other Method. If the budget was developed using a method other than an itemized and priced list of furnishing and equipment requirements, a percent of the building and built-in equipment cost, or dollars per square foot, describe the method used and attach supporting details.

Section G. Construction Contingency

Item 1. Proposed Budget. Formula-driven. The amount from Item 2d below.

Item 2. Construction Contingency. Complete the following:

Item a. Proposed Building & Built-in Equipment Budget. Formula-driven. The amount from Section C, Item 1.

Item b. Proposed Sitework & Utilities Budget. Formula-driven. The amount from Section D, Item 1.

Item c. Proposed Construction Budget. Formula-driven. Item a plus Item b.

Item d. Proposed Construction Contingency. Formula-driven. Item c multiplied by 0.02

Item 3. Additional Contingency. Describe any unusual or unique conditions that might support additional contingency in excess of the standard 2 percent allowance. Show how the additional contingency amount was calculated. Include this allowance as a line item in the Other Cost section, Section I.

Section H. Project Inspection

NOTE: If project inspection will be performed by personnel who are funded within the agency's operating budget, do not include these expenses in the proposed capital budget.

Item 1. Proposed Budget. Enter the proposed project inspection budget supported by the details in this section.

Item 2. Method Used to Develop Budget. Identify the method used to develop the proposed project inspection budget. Identify if the proposed budget was based on an estimate, a percent of the construction cost, or some other method. **Send copies of the appropriate backup materials listed on the form to DPB.**

Item 3. Estimate. If the budget was estimated, complete this table:

Item a. Number of Months. Enter the number of months inspection services will be required.

Item b. Number of Inspectors. Enter the number of inspectors required for this project.

- Item c. Percent of Time.** Enter the percent of the inspector(s) time that will be allocated to this project (e.g., if an inspector will split time between two projects, enter 50 percent).
- Item d. Equivalent Man-Months.** Formula-driven. Multiply Items a, b, and c.
- Item e. Rate per Man-Month.** Enter the estimated monthly rate. Do not include any item in the rate that is paid out of the operating budget.
- Item f. Proposed Project Inspection Budget.** Formula-driven. Item d multiplied by Item e.

Item 4. Percent of Construction Cost. If the budget was developed using a percentage of the construction cost, complete this table. Identify the data source (i.e., list the project name or other reference source that was used). Also list the data source's project inspection cost as a percent of construction cost. List any significant differences in scope between the data source and the proposed project that could account for any differences in the rates. Also complete the following:

- Item a. Percentage Rate Proposed.** List the proposed percentage based on the data sources cited.
- Item b. Proposed Construction Budget.** Formula-driven. The amount from Section G, Item 2c.
- Item c. Proposed Project Inspection Budget.** Formula-driven. Item a multiplied by Item b.

Item 5. Description of Other Method. If the budget was developed using a method other than an estimate or a percent of construction cost, describe the method used and send the supporting details to DPB.

Section I. Other Costs

“Other Costs” include agency administrative expenses, special consultants, testing services, estimates, value engineering studies, printing, advertising, and moving expenses. Obviously not every “Other Cost” item listed on this form applies to every project, nor is every conceivable “Other Cost” item listed on the form. As appropriate, include additional items, such as carpet purchased via state contract.

Often agencies cover some of the listed “Other Cost” categories from their operating funds. Do not show a cost figure for “Other Costs” items that will be funded in this manner. Only those costs that will be funded from capital appropriations should be itemized. **It will be assumed that all “Other Costs” not itemized either do not apply to this project or will be funded from the agency’s operating funds.**

- Item 1. Proposed Budget. Formula-driven.** The proposed other cost budget from the total in Item 2p, Column 1.
- Item 2. Itemization of Other Costs.** For each item listed below, include the total amount requested in Column 1. For each applicable item, identify in Column 2 the portion of other costs anticipated to be expended during the design phase, should "planning only" funds be provided.

- Item a. Agency Project Management.** Agency staff or consultants hired to assist the agency in administering the project. Do not include staff already funded within the operating budget.
- Item b. Special Consultants.** List any special consultants not already included within A/E fees. List each consultant separately.
- Item c. Asbestos & Lead Base Paint Survey & Design.** Include costs to survey the project for these materials and to design abatement methods and procedures.
- Item d. Asbestos Abatement.** Include abatement costs here only if the owner plans to contract independently for this work. If abatement activities will be included within the general contractor's scope of work, include abatement costs in Section C, Building & Built-in Equipment, or Section D, Sitework & Utilities, as appropriate.
- Item e. Independent Cost Estimates.** An owner's independent estimate is required with the preliminary submittal, and is optional at the working drawing stage (at the owner's discretion). Include costs here for independent estimates. A/E estimates, required at each design stage, are included in A/E basic services and these costs should not be included here, but within A/E Fees (Section E).
- Item f. Value Engineering.** A "40 hour" VE Study is required for each project with a construction value exceeding \$5,000,000.
- Item g. Subsoil Investigations.** Examples of subsoil investigations include borings and geotechnical reports.
- Item h. Construction Testing Services.** Include only special inspections and tests (e.g., concrete, welds, fireproofing, etc.) that are paid by the owner. Costs for tests and special inspections paid by the contractor should be included within the construction contract cost (Section C or Section D, as appropriate).
- Item i. Printing.** Include cost for reproduction of drawings and specifications and other miscellaneous printing. Do not include reproduction costs here if they have been included as a reimbursable expense in the A/E Fee Section (Section E, Item 5d).
- Item j. Advertisements.** Costs for advertising for A/E services, special consultants, and construction.
- Item k. Work by Owner.** Itemize any work that will be completed using agency forces. Do not include items already funded from the operating budget.
- Item l. Signage.** Costs for signage design, production, and/or installation procured separately by the owner. Do not include costs here if work is already included in the A/E or construction contracts.

Item m. Miscellaneous Utility charges. Examples of miscellaneous utility charges include relocations, connection fees, or data and audiovisual wiring. Do not include costs for items included within the construction contract or work funded by operating funds.

Item n. Moving Expenses. Include project-related moving expenses.

Item o. Miscellaneous Other Costs. Itemize all miscellaneous other costs.

Item p. Total Other Costs. Formula-driven. The sum of Items a through o.

Item 3. Tasks Exceeding \$50,000. Provide supporting cost backup for any task listed in Item 2 with a value in excess of \$50,000. See Section IV for submission instructions and number of copies.

Section J. Planning Costs

Item 1. Proposed Budget. Formula-driven. The proposed budget for "planning only" costs from Item 2c below.

Item 2. Planning Cost Summary. Embedded worksheet. Complete the following:

Item a. A/E Fee Expended During the Design Phase. Enter the appropriate amount from Section E, Item 5. Do not include A/E fees for construction and closeout services and site visits.

Item b. Other Costs Expended During the Design Phase. Formula-driven. The amount from Section I, Item p (Column 2).

Item c. Proposed "Planning Only" Budget. Formula-driven. Item a plus Item b.

Section K. Net Funding Requested

Item 1. Total Proposed Project Budget. Formula-driven. The summary of costs from Sections A through I.

Item 2. Prior Funds Included in Project Budget. Enter the amount of any prior funding which should be deleted from Item 1. For example, if A/E fees or Other Costs included in Item 1 above were funded by a prior planning appropriation, enter the prior funding amount.

Item 3. Net Funding Requested. Formula-driven. Item 1 less Item 2.

Instructions for DPB Form S-1 Project Scope Profile

This form is to be prepared only for projects authorized for detailed budget development during the 2006-2008 biennium. The C-1 and S-1 forms are combined in a single Excel spreadsheet format to

facilitate completion by the requesting agency and to facilitate review by the central agencies. A number of embedded calculations and hyperlinks have been incorporated into this new format to simplify the completion and review of these documents. Several macros are also contained within the file to facilitate printing. To take advantage of these macros, you must select “enable macros” when opening the file.

The DPB Form S-1 has two functions. For the requesting agency, the form serves as a checklist to ensure that major items defining the project scope have been considered by the agency. For the central agencies, the detail provides a more in-depth understanding of overall project scope in a format that is uniform and consistent across all agencies.

This form, along with the H-1 and C-1 forms, will be used to determine the project’s budget and its size and scope. Be certain to identify all unique aspects of the project scope that affect project cost. Failure to do so may result in understating the amount of funds needed to complete the project. Complete only those sections that are applicable to your project. Use this form to identify any specific requirements for materials, systems, or special features of the building. If an item is unknown or cannot be determined, indicate that it will be determined by the architectural and engineering firm during the design phase of the project by using the notation “A/E” in that space on the form. **Liberal use of this notation, however, may suggest poor definition of project scope such that full or partial funding cannot be recommended by the central agencies.**

Supporting documentation that cannot be sent electronically should be sent to the Capital Submission Clerk at the Department of Planning and Budget (See Section IV of the basic instructions for addresses and required number of copies).

INSTRUCTIONS:

- ✓ **Identify the biennium - - 2006-2008 - - and date the form**
- ✓ **Save each proposal as a separate Excel file. Use the following file naming convention:
agency code – priority – biennium - C1S1 – brief description.xls
(e.g., “207 – 12 - 2004-2006 - C1S1 – Renovate Miller Center.xls”)**
- ✓ **This form must be sent electronically. Supporting documents may be sent electronically or in hard copy. See Section IV of the basic capital outlay instructions for number of copies and addresses.**
- ✓ **The instructions contained in this document address content. Additional instructions for working within the spreadsheet file are accessible from the Main Menu page of the spreadsheet proper.**

Section A. General Information

- Item 1. Agency Name.** Enter your agency’s name.
- Item 2. Agency Code.** Enter the three-digit agency code for your agency.
- Item 3. Project Title.** Give the new project a clear descriptive title.
- Item 4. Agency Priority.** Number from the DPB Form H-1 (Tab A, Item 4).
- Item 5. Name of Person to Contact about this Form.** Enter the name of the person to contact who can answer specific questions concerning the information provided on this form.
- Item 6. Contact Person’s Telephone Number.** Enter the telephone number of the contact person.

Item 7. Contact Person's E-mail Address. Enter the e-mail address of the contact person.

Section B. New Construction Information

Complete this section for new buildings and building additions.

- Item 1. Proposed Use.** Describe the general functions and activities that will be accommodated by the new building or addition.
- Item 2. Basic shape.** Describe the basic shape (e.g., rectangular, "L" shaped, irregular, etc.) required for the building.
- Item 3. Number of stories.** Identify the number of stories above grade. In addition, indicate any basement levels.
- Item 4. Height.** Identify the height of the building.
- Item 5. Exterior walls.** Identify the visible exterior wall materials required (e.g., brick, stone, horizontal wood siding, concrete, etc.).
- Item 6. Interior walls.** Identify the visible interior wall materials required (e.g., painted gypsum wallboard, vinyl wall covered gypsum wallboard, brick, etc.).
- Item 7. Floor finishes.** Identify the finished interior floor materials required (e.g., sealed concrete, terrazzo, carpet, vinyl composition tile, etc.).
- Item 8. Ceilings.** Identify the finished ceiling materials required (e.g., painted gypsum ceiling board, suspended acoustical tile, suspended linear metal panels, exposed to structure above, wood plank, etc.).
- Item 9. Special building features and rationale for each.** Identify any required special building features and the rationale for each (e.g., atrium, clerestory windows, skylights, sun-shading devices, monumental stairs, laboratory equipment, etc.).
- Item 10. Special building mechanical systems or features.** Identify any special building mechanical systems or features (e.g., humidity control, laboratory gases, fire extinguishing systems, smoke exhaust, etc.).
- Item 11. Special building electrical systems or features.** Identify any special building electrical systems or features (e.g., fire alarm systems, fiber optics, paging and clock systems, intercom systems, television cable, television satellite dish, etc.).

Section C. Renovation Information

Complete this section for renovation of existing buildings.

- Item 1. Description of present use.** Describe the general functions and activities that are currently accommodated in the areas to be renovated.
- Item 2. Description of proposed use.** Describe the general functions and activities that will be accommodated by these areas after renovation.
- Item 3. Basic shape.** Describe the basic shape (e.g., rectangular, "L" shaped, irregular, etc.) required for the building.
- Item 4. Number of stories.** Identify the number of stories above grade. In addition, indicate any basement levels.
- Item 5. Height.** Identify the height of the building.
- Item 6. Year building was constructed.** Enter the year the building was originally constructed. If the building subsequently underwent a major improvement project, identify that year as well.
- Item 7. Summary of existing conditions.** Describe the overall condition of existing building. Provide details for each building system in Item 10.
- Item 8. Summary of proposed improvements.** Describe the overall scope of the proposed renovations/alterations. Provide details for each building system in Item 10.
- Item 9. Date of building condition survey.** Enter the date that the building survey was conducted (for example, June 15, 2002). Information provided on this form may come from a previous survey.

Table C-1 Existing conditions/proposed improvements. For each building system listed in this table:

- 1) Identify the existing conditions (i.e., check the appropriate box: needs no work, needs minor repair, needs major repair, needs replacement). If more than one condition applies to a system, use percentages rounded to the nearest 10 percent (e.g., 50% needs minor repair; 50% needs replacement).
- 2) Describe the improvements to be completed under the proposed project.
- 3) Identify the affected gross floor area (or roof area, if appropriate).

Section D. Space Requirements Information (Embedded Excel worksheet)

This table must be completed for new buildings, building additions, and Type "A" renovations as defined below. Do not include Type "B" renovations in this table.

RENOVATION TYPE DEFINITIONS

Type "A" Renovation:

Renovation of a space which involves:

- a change in Use or Occupancy as defined by the building code.
- removal, relocation, or addition of any wall or fixed partition.

Type "B" Renovation:

Any other renovation scope not already accounted for by a Type "A" renovation. Examples include:

- replacement in kind
- ordinary repairs
- cosmetic improvements
- removal, addition, or alteration of mechanical, electrical, and plumbing systems

When completing this table, use one row for each "type of space" comprising the new construction or Type A renovated spaces. Do not list "non-assignable" spaces in this table. Non-assignable spaces are spaces that are not directly related to the program and include spaces such as corridors, stairs, elevators, vestibules, columns, shafts, lobbies, toilets, mechanical rooms, etc. See Chapter 7 of the Construction and Professional Services Manual for more detailed information on assignable versus non-assignable space. Non-assignable spaces are included in the gross area by application of the building efficiency factors. See the calculation for Item 4.

Column a. **Space Type.** Enter a **descriptive** name for each of the assignable spaces in the new construction project or affected by the improvement to an existing building (such as dean's office, faculty office, general classroom, computer classroom, physics laboratory, engineering laboratory, patient wards, semi-private patient room, inmate dormitory, inmate cells, book storage, or hazardous waste storage).

For institutions of higher education only, preface the space type name with the appropriate "Room Use Code," which is provided in **Appendix D**. Do not use the "Room Use" names provided in Appendix D for this item as these names are not sufficiently descriptive for cost estimating purposes. An example of a good descriptive name would be (220) CADD Laboratory (*220 is the code for an Open Laboratory, which is the room use code that applies to this example.*)

Column b. **Function / User.** Enter the planned function, use, or activity that will take place in the space (such as administration, biology instruction, physics research, book storage, physical therapy, dental hygiene, or auto maintenance). Also describe the type of occupant who will use the space (such as the general public, employees, students, prisoners, or mentally ill patients).

For institutions of higher education only, preface the function description with the appropriate "Taxonomy of Functions Code," which is provided in **Appendix E**. Do not use the "Taxonomy of Functions" names provided in Appendix E for this item. They are not sufficiently descriptive for cost estimating purposes. An example of a good activity use or function would be (1.1) CADD Instruction (*1.1 is the code for General Academic Instruction, which is the functional category that applies to this example.*)

Column c. **Special Requirements / Basis for Area Requirements.** Describe any unusual features that must be accounted for in the design (such as ceiling height, finishes, built-in equipment, hazardous materials, heavy live load, acoustics, shielding, humidity control, special temperature control, utilities, communication, or lighting).

Also identify the basis for the square foot requirement (such as the statewide building code, agency policy, the Construction and Professional Services Manual (CPSM) standard, SCHEV guidelines, or other rationale by which the area was determined). Examples include: The Virginia Uniform Statewide Building Code (VUSBC) requires 15 net square feet per person in an assembly area with tables and chairs, agency policy requires 35 net square feet clear area in a prison cell, CPSM standards limit the office size of a department or agency head to 256 square feet, SCHEV guidelines designate square feet per student. Other rationale could include special activity or industry area requirements.

- Column d. **Number of Stations or Users.** Enter the maximum number of occupants or units of occupancy planned for the space (such as employees, students, prisoners, beds, seats, tables, computer stations, or laboratory stations).
- Column e. **Number of Spaces.** Enter how many of this type of space will be in the building (such as five offices, 20 classrooms, 10 teaching labs, seven research labs, two storage rooms, three counselors' offices, or 200 dormitory rooms). Enter the numerical value only.
- Column f. **Required Net Square Feet per Space.** Enter the required net square feet for the space. Identify the basis for the proposed space requirement in Column c.
- Column g. **Total Net Square Feet.** Formula-driven. Multiplies Item e by Item f
- Column h. **Net Area apportioned to New Construction.** For each type of space (each row), identify the portion of the total net area that will be housed in the new construction.
- Column i. **Area Apportioned to Type "A" Renovations.** Formula-drive. Item g – Item h. For each type of space (each row), identifies the portion of the total net area that will be housed in the renovated building.

(Note: Row entries in Column h and Column i must sum to the entry in Column g.)



Item 2. Net area. Formula-driven. Calculates the Net Area totals for Column g, Column h, and Column i.

Item 3. Building efficiency factor. Enter the proposed ratio of net area to gross area for the new spaces (Column h) and the renovated spaces (Column i). Guideline efficiency ratios are published in Chapter 7 of the Construction and Professional Services Manual.

Item 4. Gross area. Formula-driven. For Columns h and Column i, the net area (Item 2) is divided by the building efficiency factor (Item 3) to obtain the proposed gross area of new construction and Type “A” renovation.

Section E. Gross Area Summary

Complete this section for all building projects, both new and/or renovated.

Item 1. Tabulation of Total Project Area. Complete the tabulation of gross areas in this table as follows:

Item 1a. Type "A" Renovation. Formula-driven. The gross area from Section D, Item 4, Column i.

Item 1b. Type "B" Renovation. Formula-driven. The total gross area being renovated (Item 1c), less the Type A renovation gross area (Item 1a).

Item 1c. Total Renovated Area. Enter the total project gross area being renovated. Include the gross area attributed to both Type “A” and Type “B” renovations.

Item 1d. Total New Construction. Formula-driven. The gross area from Section D, Item 4, Column h.

Item 1e. Total Project Gross Area. Formula-driven. Item 1c plus Item 1d.

If the Total renovated Area and the Total New Construction Area amounts do not match those listed on the DPB Form H-1, an explanation should be included on DPB Form CNJ.

Item 2. Tabulation of Total building area. Complete the tabulation of building areas in this table as follows:

Item 2a. Total Renovated Area. Formula-driven. The renovation area from Item 1c above.

Item 2b. Existing Building Area Not Renovated. Formula-driven. Item 2c less Item 2a.

Item 2c. Total Original Building Area. Enter the total existing gross area as calculated from existing floor plans.

Item 2d. Total New Construction Gross Area. Formula-driven. The new construction area from Item 1d above.

Item 2e. Total Revised Building Area. Formula-driven. Item 2c plus Item 2d.

Section F. Site Information

Complete this section for all projects.

Describe all features and requirements that may affect project cost. When possible, send small scale-site plans and photos of the existing site and surrounding environment to the Capital Submission Clerk at DPB.

- Item 1. Location.** Identify the location of the project site.
- Item 2. Special site conditions.** Describe special site conditions (such as site area and shape; adjacent buildings and structures; existing foundations, walls and fences; historic and archaeological issues; accessibility issues; security items; easements and environmental concerns; year flood plains and water table; views; prevailing wind direction; or solar and shading orientation).
- Item 3. Soil conditions/Special foundation requirements.** Describe soil and subterranean conditions (such as rock, uncontrolled fill, marshes, natural springs, clay, or sand).
- Item 4. Topography.** Describe the general site topographical conditions (such as the degree of sloping terrain, types of vegetation, land surface materials, bodies of water, or wetlands).
- Item 5. Roads and parking.** Describe on-site roads and parking in terms of general location, size, and capacity, and their connection to roads accessing the site. Describe any mass transit stops to access the site.
- Item 6. Landscaping.** Describe landscaping features such as pedestrian spines, sidewalks, nature and bicycle trails, or large open spaces. Include the relationship of any planting, water, and site structures with these features.
- Item 7. Existing buildings or structures.** Describe the condition of existing buildings or structures to remain as is, those to be renovated or restored, and those proposed for demolition.
- Item 8. Other.** Describe any other site characteristics not listed above that may affect this project.
-

G. Utilities Information

Complete this section for all projects.

Describe all features and requirements that may affect project cost. Send small-scale site plans and photos of the existing site and surrounding environment, when possible, to the Capital Submission Clerk at DPB. See Section IV for number of copies to submit.

- Item 1. Electrical distribution.** Describe existing and proposed electrical power distribution.
- Item 2. Area lighting.** Describe existing and proposed area lighting.
- Item 3. Mechanical distribution.** Describe existing and proposed mechanical distribution (such as steam, hot water, chilled water, or gas).

- Item 4. Water lines.** Describe existing and proposed water distribution for domestic use, fire, and irrigation. Include any water towers, water tanks, or wells.
- Item 5. Sanitary lines.** Describe existing and proposed sanitary sewer systems, including gravity systems, forced main extensions, or pump stations.
- Item 6. Storm water management.** Describe existing and proposed storm water management systems (such as storm sewers, retention basins, underground storage, or district plan).
- Item 7. Other.** Describe existing and proposed other utility systems (such as telephone, telegraph, television cable, data lines, loudspeakers, or security systems).

H. Non-Building Project Information

Complete this section for all "non-building" projects, such as water treatment plants, boiler plants, steam tunnels, surface parking lots, etc.

Describe all features and requirements that may affect project cost. Send small-scale site plans and photos of the existing site and surrounding environment, when possible, to Capital Submission Clerk at DPB.

- Item 1. Type of project.** Describe the type of project (e.g., boiler plant, wastewater treatment, etc.)
- Item 2. System size or other significant quantities.** Enter the key quantity parameter measurement for the project. To illustrate, for a wastewater project, enter the gallons per day; for a sewer line or steam tunnel replacement, enter the linear footage; and for a central cooling plant, enter the total tons of cooling.
- Item 3. Description of purpose.** Enter a description of the purpose, or primary function, provided by the proposed project.
- Item 4. Description of work.** Enter a description of the proposed scope of work. As this section is less structured than the earlier sections for building projects (due to the wide variety of "non-building" projects), it is important to provide sufficient detail to assist the central agencies and budget committees in understanding the scope of work. To the extent that quantities, capacities, and/or sizes are known for project components, please provide this information.
- Item 5. Description of any special existing conditions.** If not already described in Item 4 above, provide a description of any special existing conditions, special features, hazardous wastes, existing or new incidental structures, and other items that may have an impact on the project budget.
- Item 6. Relationship to other projects.** Enter a description of the relationship of this project to any other existing, concurrently constructed, or future project. For example, if a new central chiller plant must be operational to serve a new academic building to be built concurrently, describe this relationship.

NOTE: Forms H-1, C-1, and S-1 are databases and must be downloaded from the DPB website for completion. Form T-1 and its associated instructions are provided as Appendix E.

Appendix E

Instructions for DPB Form T-1

Project Technology Profile

This form is used to describe the general scope of work and cost estimates for capital projects with a significant technology component. This project should have been included in your agency's IT Strategic Plan submitted to the Virginia Information Technologies Agency (VITA). If it was not included, you must explain on the DPB Form T-1 in Section B, Item 1.

Questions about completing this form can be directed to Constance Scott at the Virginia Information Technologies Agency, constance.scott@vita.virginia.gov.

If you do not have the in-house expertise to complete this form (especially Section B, Items 3 and 4), please contact VITA at the telephone number above for assistance.

Date the form.

A. General Information

Item 1. **Agency Name.** Enter your agency's name.

Item 2. **Agency Code.** Enter the three-digit code for your agency.

Item 3. **Project Title.** Enter the project title.

Item 4. **Building Name.** Enter the name of the building(s) in which the energy project is proposed.

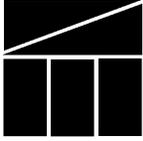
B. Technology Project Information

Item 1. **Description of the technology component of the project.** Enter a brief description of the proposed scope of work for the technology component of the project. **If the proposed project was not included in your agency's IT Strategic Plan that was submitted to VITA, please explain why the project was not included, and why it is now needed and impact if not approved.**

Item 2. **Primary uses of the building included in this project.** Describe the primary uses of the building or buildings that are part of this project. If there are two or more uses, indicate which is primary.

Item 3. **Total technology project cost estimate.** Indicate the technology-related cost of this project, along with the incidental costs of materials, labor, engineering and design, and other costs. Other costs can include such things as the services relating to the analysis, design, placement, training, and monitoring of such equipment or systems.

Item 4. **Explain how the technology cost estimate was developed.** Explain methodology used to develop the technology cost estimate and source(s) of costing information.



Virginia Department of Planning and Budget
PROJECT TECHNOLOGY PROFILE

Date _____

A. General Information

1. Agency Name: _____ 2. Agency Code: _____
3. Project Title: _____
4. Building Name: _____
- _____

B. Technology Project Information

Important: Have you already provided a Project Proposal Document to VITA's PMD Division for this request? If so, you do not need to fill out the remainder of this form, as it will be made available to DPB by way of VITA. If not, please fill out the rest of this form in its entirety.

If you are submitting a budget decision package for a project baseline change to an existing active project that requires additional funding, please file a proposed change request package with PMD and reference this package in your TR-1 form. You do not need to fill out the remainder of this form

1. Description of the technology component of the project:
2. Primary uses of the building included in this project:
3. Total Technology Cost Estimate:

Estimate of Execution Expenditures and Funding

Provide an Estimate of the Expenditures and Funding required for execution and close out of the project.

Estimated Expenditures							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
Internal Staff Labor							
Services							
Software Tools							
Hardware							
Materials and Supplies							
Facilities							
Telecommunications							
Engineering and Design							
Total							
This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []							
Explanation:							
Anticipated (proposed) Funding Source (\$000)							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
General Fund							
Non-General Fund							
Federal							
Other							
Total							
This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []							
Explanation:							

Estimate of Operations Expenditures and Funding

Provide an Estimate of the Expenditures and Funding for Operations and Maintenance of the asset(s) delivered upon project completion.

Estimated Expenditures							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
Internal Staff Labor							
Services							
Software Tools							
Hardware							
Materials and Supplies							
Facilities							
Telecommunications							
Total							
This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []							
Explanation:							
Anticipated (proposed) Funding Source (\$000)							
	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	Comments
General Fund							
Non-General Fund							
Federal							
Other							
Total							
This estimate is accurate to: 50% [] 60% [] 70% [] 80% [] 90% []							
Explanation:							

4. Explain how technology costs estimates were developed:

Appendix F

Instructions for completing the Rate Adjustment Narrative Justification (Form RANJ)

General information

The Rate Adjustment Narrative Justification (Form RANJ) form is required **only from central service agencies** that anticipate a change in their assessed rates for services they provide to other state government agencies.

Please use the Word format provided by DPB. You can download the format for Form RANJ from DPB's web site (go to www.dpb.virginia.gov, then click on the "Documents & Forms" link in the blue column at left, then type in "Decision Package" in the Search window).

Complete a separate narrative justification for each anticipated rate change. Please put each narrative justification into a separate document in Microsoft Word.

You must complete all the items. If an item is not applicable, insert "N/A." Do not delete any items.

When you save your completed table, name it according to the following convention: your agency's three-digit code followed by "RANJ" followed by the decision package number. Example: If you are agency 999 and you submit proposals for two rate adjustments, numbered 300 and 301, the files for these narrative justifications would be *999RANJ300.doc and 999RANJ301.doc*.

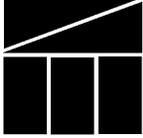
Specific information

- **Item 1. Agency name:** Type in the agency name.
- **Item 2. Agency code.** Insert your agency's three-digit code.
- **Item 3. Decision package number.** Use the three-digit category number as specified in "Numbering decision packages" in Section 2 of these instructions.
- **Item 4. Title.** Insert a short descriptive title (no more than 100 characters long). Remember that your title should begin with an action verb.
- **Item 5. Description.** Provide a full description of the actions involved in the proposed rate adjustment.
- **Item 6. Objectives/results.** Describe the anticipated results or objectives your agency expects to accomplish if the proposed rate adjustment is approved. What issue or problem are you trying to resolve? Be as specific as possible.
- **Item 7. Consequences of not altering rates.** Indicate the consequences you expect if the rate adjustment is not approved.
- **Item 8. Need for request.** Provide detailed information to indicate the need for the proposed rate adjustment. For example: Have demographic, vendor prices, or other factors created the need for the rate adjustment? Cite quantitative data wherever possible.

- **Item 9. Alternatives considered.** Indicate any other alternatives you considered to a rate adjustment and why you selected the proposed action. Briefly list the pros and cons of each alternative.
- **Item 10. Service rates currently in effect.** List, by the lowest commonly used unit of service, the rate currently being charged to state agencies. If the rates vary by agency, list all rates to the extent necessary so that the rate may be determined for any and all affected agencies. (Items 10, 11, 12, 13, and 14 may be submitted to DPB on an electronic spreadsheet along with Form RANJ.)
- **Item 11. New service rates being proposed.** List, by the lowest commonly measured unit of service, the new proposed rate to be charged to state agencies. If the rates are to vary by agency, list all rates to the extent necessary so that the rate may be determined for any and all affected agencies.
- **Item 12. Service rate's unit of measure.** Define and describe the units of measure in the adjustment proposal sufficiently for the average lay person.
- **Item 13. Total number of units used by each agency.** List, by the lowest commonly measured unit of service, the expected number of units to be utilized by each state agency.
- **Item 14. Projected Revenues under existing rates.** Provide revenue estimates based on maintaining the current, existing rate structure.
- **Item 15. Projected Revenues under proposed rates.** Provide revenue estimates based under the new, proposed rate structure.
- **Item 16. Effective date of rate adjustment by agency.** List the expected dates the new proposed rate changes are to go into effect for the agencies. If the dates are to vary by agency, list dates by agency.
- **Item 17. Is the proposed rate change mandated?** Check the appropriate box to indicate if the proposed rate change is mandated. If so, indicate what precisely the mandate requires and what is its origin (cite federal or state statutory provisions). **Note:** Requirements of state or federal *regulations* are not considered "mandates." Also, a rate change is not mandated if legislation enables or authorizes the activity but does not require it.
- **Item 18. Has JLARC approval been received?** Check the appropriate box to indicate whether the proposed rate change has been approved by JLARC. If yes, please send DPB a copy of JLARC's approval. If no, indicate when JLARC is expected to consider approval.
- **Item 19. Appropriation Act language needed? Put an X in the appropriate box to indicate if there is a need to add, revise, or delete language in the Appropriation Act.** If yes, insert the affected page(s) of the 2006 Appropriation Act showing deletions marked as a strike-through and additions underlined. Chapter 3 language can be downloaded from the Legislative Information System.

The Following Form RANJ provided as information only as part of the instructions. You can download the Form RANJ without the attached instructions from the DPB web site.

2006-2008 Rate Adjustment Narrative Justification (Form RANJ)



**Virginia Department of Planning and Budget
September 2006**

1. Agency name: _____ **2. Agency code:** _____

3. Decision package number: _____ **4. Title:** _____

5. Description

6. Objectives/results

7. Consequences of not altering rates

8. Need for request

9. Alternatives considered

10. Service rates currently in effect

11. New service rates being proposed

12. Service rate's unit of measure

13. Total number of units used by each agency

14. Projected Revenues under existing rates					
2007	2008	2009	2010	2011	2012

15. Projected Revenues under proposed rates					
2007	2008	2009	2010	2011	2012

16. Effective date of rate adjustment by agency

17. Is the proposed rate change mandated? YES NO

18. Has JLARC approval been received? YES NO

19. Appropriation Act language needed? YES NO

If YES, please explain and show changes:

Appendix G

Instructions for completing the Out-Year Cost Estimates (Form OYF)

General information

This form is required **only from agencies** that anticipate an increase or decrease in spending in the out-years (e.g., FY 2009, FY 2010, FY 2011, and FY 2012) that is **not** part of a decision package for the 2006-2008 biennium. An example would be a building or facility scheduled to open in FY 2009 for which additional operating expenses would be required.

Please use the Excel format provided by DPB. You can download the format for Form OYF from DPB's web site (go to www.dpb.virginia.gov, then click on the "Documents & Forms" link in the blue column at left, then type in "Decision Package" in the Search window).

Your agency should complete only one Form OYF for all of the anticipated out-year costs for your agency. Please email the form to DPB at budget@dpb.virginia.gov.

When you save your completed table, name it according to the following convention: your agency's three-digit code followed by "OYF." Example: If you were agency 999, the file would be *999OYF.xls*.

Specific information

- **Column A. Agency code:** Type in the agency's three-digit agency code. Note, you must repeat the agency code in each row for which you have a projected cost item.
- **Column B. Title.** Insert a short title starting with an action verb that describes the item for which you are reporting anticipated out-year costs.
- **Columns C-J.** For each year (FY 2009, FY 2010, FY 2011, FY 2012), record the anticipated costs of the item from the general fund and from nongeneral funds.

The Following Form OYE provided as information only as part of the instructions. You can download the Form OYE without the attached instructions from the DPB web site.

Appendix H: Legislative Reporting



Virginia Department of Planning and Budget
Report on Federal Contracts, Grants, or Money

INSTRUCTIONS

The Code of Virginia §2.2-603(E) requires that agencies report on the availability of federal contracts, grants, or money in excess of \$1,000,000 that your agency was eligible for in FY 2006. Fiscal year 2006 is the state fiscal year that began on July 1, 2005, and ended on June 30, 2006.

Agency name: _____

Agency code: _____

FEDERAL CONTRACTS, GRANTS, OR MONEY

Revenue Code*	CFDA Code*	Short Title	Annual \$ Amount	Yes or No (insert Y or N in the appropriate column)			Reason for Not Applying for, Accepting, or Receiving
				Applied For	Accepted	Received	

* Insert the appropriate Commonwealth revenue source code and the Catalog of Federal Domestic Assistance code.

CONTACT INFORMATION

Name & Title of person completing this form

Phone number

Date



Virginia Department of Planning and Budget
Report on Federal Spending

INSTRUCTIONS

The Code of Virginia §2.2-603 (E) of the Code of Virginia requires that agencies report the percentage of their spending from federal funds. On this form, report your expenditures (not appropriations) from federal sources for FY 2006 along with your total operating expenditures (all funds). Fiscal year 2006 is the state fiscal year that started on July 1, 2005, and ended on June 30, 2006.

Agency name: _____ Agency code: _____

FEDERAL SPENDING

Check the appropriate box:

- This agency did not expend any federal funds in FY 2006.
- This agency expended federal funds in FY 2006.

If you check this box, complete the following:

Total agency operating expenditures for FY 2006 \$ _____

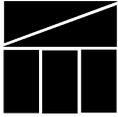
Amount of FY 2006 expenditures from federal sources \$ _____

Percent of FY 2006 expenditures from federal sources _____ %

Note: Round percent to one decimal place (Example: 24.6%)

CONTACT INFORMATION

Name & title of person completing form *Phone number*



Organizational Memberships of State Agencies

INSTRUCTIONS

Section 4-5.05 of the 2005 Appropriation Act, requires agencies to report on organizational memberships with annual dues of \$5,000 or more.

Your agency is requested to provide this information for organizations in which it will hold membership during the current state fiscal year (FY 2007, which began July 1, 2006, and will end on June 30, 2007). You must provide the name of the organization and the purpose of the membership. This information is needed only for membership dues of \$5,000 or more.

Agency name: _____ Agency code: _____

Name of person completing this form: _____

Organizational memberships during FY 2006

Name of organization	Annual dues	Purpose of agency membership
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		