# Capital Project Review

## Overview

Annually, agencies are required to review all active capital projects recorded in CARS, including projects authorized in prior biennia or under §4-4.01.m of the General Provisions of the Appropriation Act. The purposes of the review are to determine capital budget amounts to be reappropriated in the next fiscal year, to identify unobligated appropriation balances that can be reverted, and to identify projects that have been completed. If a capital project meets at least one of the following conditions, unexpended balances will not be reverted:

- Construction is in progress;
- Equipment purchases have been authorized by the Governor, but have not been received;
- Plans and specifications have been authorized by the Governor, but have not been completed; or
- Obligations are outstanding at the end of the fiscal year.

The capital project review will also be used to collect capital project performance measurement information.

## Quick Guide

**AGENCY ANALYST**

1. Mouse over the Capital Budget Functional Area menu item and select Capital Project Review from the resulting dropdown menu. Once Capital Project Review is selected, the Overview tab will appear.
2. Complete the **Overview** tab as described in the Overview tab instructions.
3. Complete the **Project Status** tab as described in the Project Status tab instructions.
4. Click **Validate** to confirm that the all Business Rules have been satisfied.


5. Click **Submit** and select the appropriate action from the available options.


- **Continue Working** - Saves the Capital Project Review and returns it to the Available to be Claimed tab on the Work Tray for users with similar credentials to claim.
- **Submit for Agency Review** - Submits the Capital Project Review to the first level in the Agency Reviewer step of the workflow.

  **NOTE:** This submit action will be displayed only if the selected Agency has assigned Agency Review steps.
- **Ready for DPB Bulk Submit** - Submits the Capital Project Review to the "holding area" for later submission to DPB in bulk.

  **NOTE:** This submit action will be displayed only if the selected Agency does NOT have Agency Review steps.
- **Void Document** - Voids the Capital Project Review.  The work item will be removed from the "Claimed Work Items" and "Available to be Claimed" tabs in the Work Tray, however the work item may still be accessed through the search feature within the Work Tray.

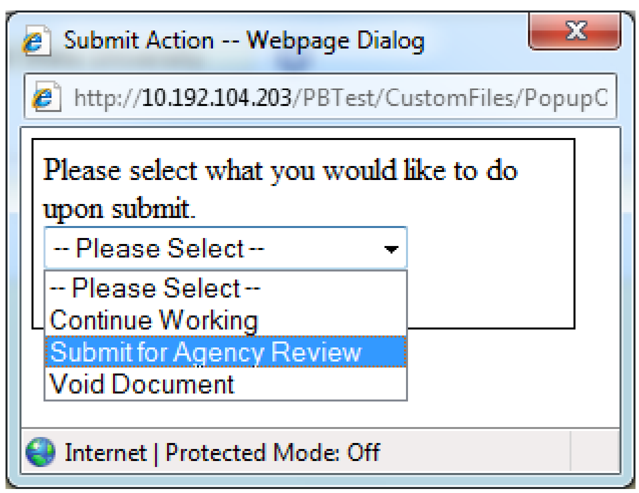



**Figure 1:** Submit Actions for Capital Project Review when the Agency has assigned Agency Review steps

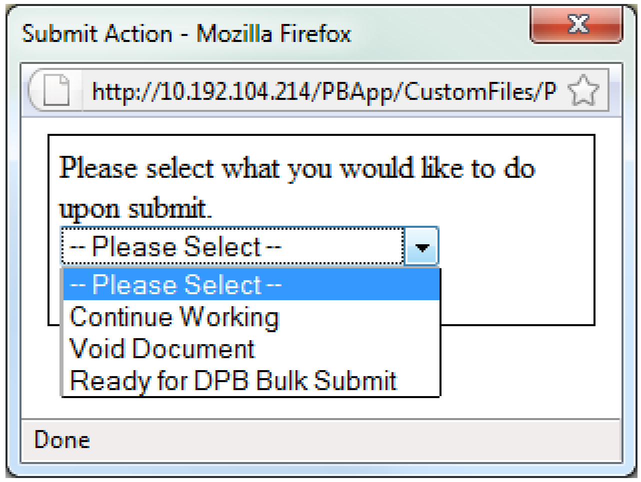
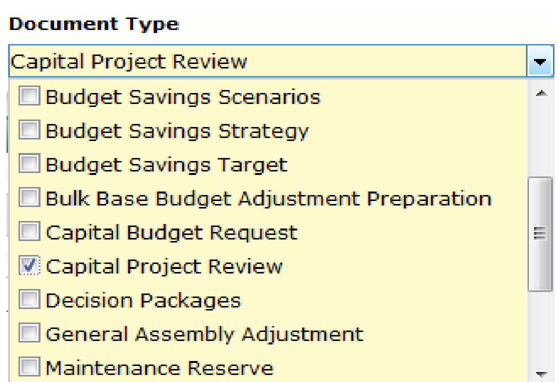


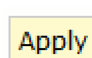

**Figure 2:** Submit Actions for Capital Project Review when the Agency does NOT have assigned Agency Review steps

**AGENCY REVIEWER**

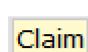
1. Click on the **Available to be Claimed** tab in the Work Tray.
2. Select the **Document Type** filter and select **Capital Project Review** to filter on the Capital Project Review.




3. Click the **Apply** button to filter the work items displayed in the work tray by the selected document type(s).




4. Click **Claim** next to a Capital Project Review that is ready for review. Once Capital Project Review is claimed, the Overview tab will appear.




5. Review the **Overview** tab for completeness and accuracy according to the instructions issued by DPB.

6. Click on the **Project Status** tab and review for completeness and accuracy according to the instructions issued by DPB.
7. Click **Submit** and select the appropriate submit actions from the available options.


- **Return for Further Data Entry** - Returns the Capital Project Review to the data entry workflow step.
- **Ready for DPB Bulk Submit** - Submits the Capital Project Review to the "holding area" for later submission to DPB in bulk.
- **Void Document** - Voids the Capital Project Review. The work item will be removed from the "Claimed Work Items" and "Available to be Claimed" tabs in the Work Tray, however the work item may still be accessed through the search feature within the Work Tray.
- **Continue Review** - Saves the Capital Project Review and returns it to the Available to be Claimed tab on the Work Tray for users with similar credentials to claim.
- **Return to Previous Submitter** - Returns the Capital Project Review to the agency reviewer role that previously submitted the work item to Agency Review.

  **Note –** This submit action will be displayed only if the Agency has multiple Agency Review steps assigned.

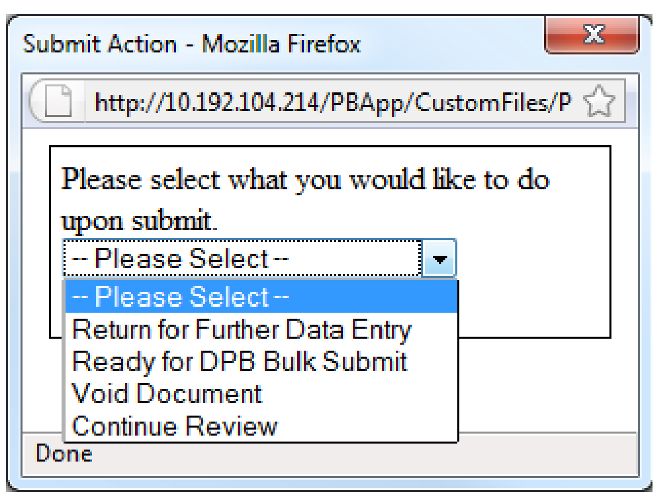



**Figure 3:** Submit Actions for Capital Project Review when only one level of Agency Review is assigned

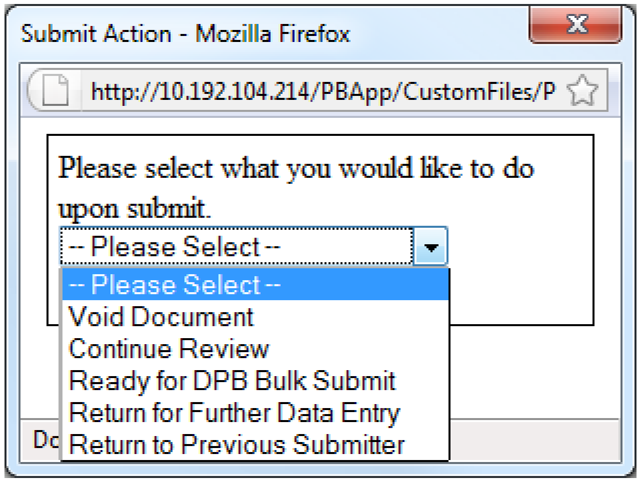



**Figure 4:** Submit Actions for Capital Project Review at Agency Review level 2

# Overview Tab

## Overview

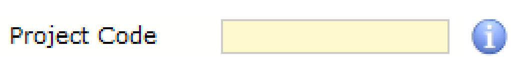
The purpose of the Overview tab is to capture the general information about the capital project such as the project type, project status (active or complete), and the estimated completion date.

## Instructions

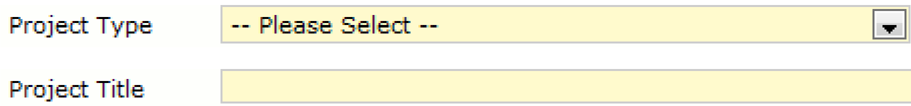
1. Click on the **Overview** tab.


2. Select the **Agency** of the capital project for which you would like to prepare a Capital Project Review. The active projects for the selected agency will be available for selection in the Project Code field.


3. Select the **Project Code** of the capital project for which you would like to prepare a Capital Project Review.

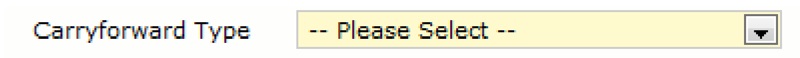


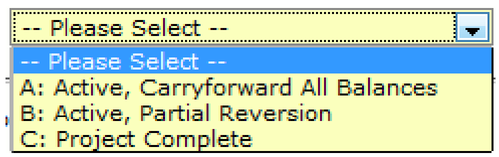

4. Confirm that the following fields have populated with valid data for the selected capital project: **Project Title** and **Project Type If the project is an "umbrella" project (such as maintenance reserve), then identify it as an umbrella project (in the Justification text box) and do not complete the "Status of Project" section**



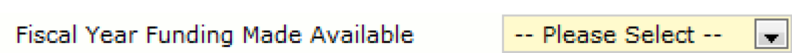

5. Select the **Fiscal Year** in which the Capital Project Review is being conducted using the dropdown arrow within the **Year** field.


6. Select the **Carryforward Type** for the capital project balance using the dropdown arrow. For any project not approved for carryforward, DPB will close out the project and remove its appropriation from CARS at the end of the fiscal year. **If a project is not reported, DPB will assume the project has been completed and will close it out.**

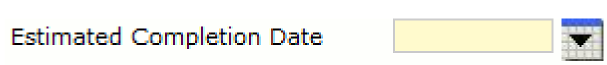


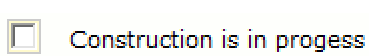

7. Select the fiscal year any funding for the project was first appropriated for the capital project using the dropdown arrow within the **Fiscal Year Funding Made Available** field; even if the initial funding was only for planning purposes. For projects authorized by an appropriation act for either the first or second year of a biennium, this date should normally be July 1. If the project was authorized administratively by the Governor, the date should be the date on which the decision brief for that action was approved



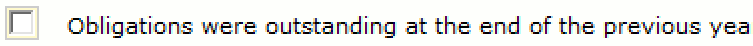

8. Select the **Estimated Completion Date** for the Capital Project using the calendar. If the project is complete , then enter the date on which a Form CO-13.1 or Form CO-13.3 was approved.



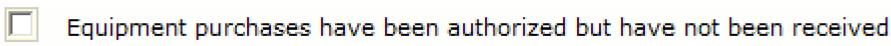

9. Check the **Construction is in progress** checkbox, if the construction phase of the project has started.



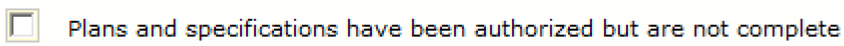
10. Check the **Obligations were outstanding at the end of the previous year** checkbox, if there are anticipated to be outstanding obligations for the capital project at the end of the current fiscal year.




11. Check the **Equipment purchases have been authorized but have not been received** check box, if any equipment has been purchased but still will not be received as of June 30 of the current fiscal year.




12. Check the **Plans and specifications have been authorized but are not complete** checkbox, if plans have been authorized but will not be completed by the close of the current fiscal y ear.




13.




Enter a **Justification** narrative explaining why the Carryforward Type was selected. For projects that have an approved DGS Form CO-8 or that have been granted "proceed authority," agencies must justify any amount requested for reappropriation that is greater than the obligated amount.

A Justification narrative should be entered if the user selects the following Carryforward type:

***A: Active, Carryforward All Balances***

***B: Active, Partial Reversion***

**Note:** If the user selects any of the above Carryforward types without entering a Justification narrative, it will result in a soft validation warning.

In addition, for all "A" and "B" projects for which the fiscal year in which funding made available is more than five years before the end of the current fiscal year, you must explain why the project has not yet been completed.

All unobligated balances that are reverted will be returned to their original fund sources.

# Project Status Tab

## Overview

The purpose of the Project Status tab is to capture the project status and the current budget status of the capital project. Users will have the ability to indicate the current project budget, if funding has been received, the total expenditures to date, and the total planned expenditures for the capital project.

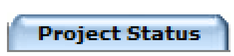
The Construction and Professional Services Manual (2004), issued by DGS requires agencies to submit an E & B Form CO-14, Project Completion Report, when a Certificate of Occupancy has been issued by the state building official. This must be done:

- No later than 12 months after the owner occupies the building, or
- When the work has been accepted as substantially completed, or
- Where there is no change in use group classification, or
- When the owner has taken beneficial occupancy of the entire project area.

DPB will share its list of closed projects with DGS to ensure compliance with the CO-14 submission requirement.

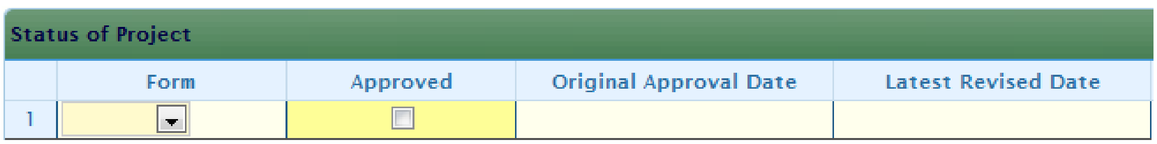
## Instructions

1. Click on the **Project Status** tab.

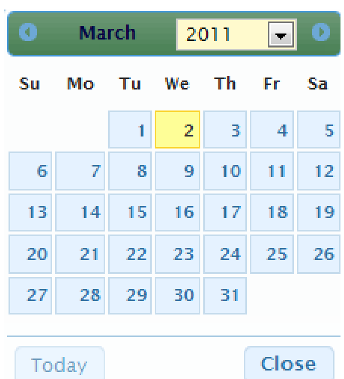



2. **Number of Change Orders:** Since the initiation of the project, enter the total number of change orders processed for the project projected to the end of the fiscal year. If no change orders have been processed, enter zero.

3. **Total Change Order Costs:** Provide the total value of any change orders by general fund/tax-supported debt and nongeneral fund since the initiation of the project projected through the end of the fiscal year. If no change orders have been processed, enter zero.
4. In the **Status of Project** grid, complete the status for each capital project form. Select the appropriate **Form** from the dropdown list. Then, check the **Approved** checkbox and enter the **Original Approval Date** and the **Latest Revised Date** as applicable for each form. If a particular form has not been approved for the project, then do not check the box for that form or enter any dates for that form. If no capital outlay form has been approved for the project, then leave this entire section blank. Note: This section should not be completed for umbrella projects including maintenance reserve projects.




5. Upon clicking inside the Original Approval Date and Latest Revised Date, a calendar will be displayed. Select the appropriate date within the calendar for each form and the field will be populated.




6. In the **Project Budget Status** grid, enter the **Current Project Budget, Project Expenditures, Project Commitments,** and **Carryforward Request** for the Total Funds and General Fund. Note, that total funds equal the sum of general and nongeneral funds.

   **Current Project Budget —** The amount pre-populated in this column should equal the total of current year appropriations, reappropriations, and transfers (the current operating plan).
   **Project Expenditures —** This amount should equal the total value of all vouchers that have been processed or will be processed in CARS or the

financial systems of the Level III higher education institutions during this fiscal year.
**Project Commitments —** The amounts entered in this column should equal the commitments against the current operating plan that will have been made this fiscal year but not expended as of June 30 of the current fiscal year. Please note the following guidelines for contingencies:

- The contingency amount should be equal to the larger of the total construction change orders or two percent of the construction contract for standalone construction projects and improvement projects in excess of $1 million; or
- The contingency amount should be equal to five percent for improvement projects less than $1 million.

**Carryforward Request —** In this column, enter the total carryforward request.

**Project Budget Status**

| | Type | Current Project Budget | Project Expenditures | Project Commitments | Carryforw |
|---|---|---|---|---|---|
| 1 | Total Funds | | | | |
| 2 | General Fund | | | | |

7. In the **Total Amount to be Reverted** grid, select the **Fund** from the lookup list and enter the Carryforward Request **Amount** by fund that can be reverted. In the case of nongeneral funds, the appropriation will be reduced, but the agency will retain any remaining cash.

**Total Amount to be Reverted**

| | | Fund | Amount |
|---|---|---|---|
| 1 | | | |

## Field Definitions

| Field Name | Description |
|---|---|
| Agency | Source Agency of the Capital Project Review. |
| Project Code | A popup list that allows for the selection of Project Codes for the selected agency. |
| Project Title | A pre-populated field that displays the Title of the Capital Project based on the selected Project Code. |
| Project Type | A pre-populated field that displays the capital Project |

| | |
|---|---|
| | Type based on the selected Project Code. |
| Year | The fiscal year for which the Capital Project Review will occur. |
| Carryforward Type | A dropdown list that allows for the selection of the Carryforward type for the funding balance of the Capital Project. |
| Fiscal Year Funding Made Available | A dropdown list that allows for the selection of a fiscal year for which funding was allocated to the selected Capital Project. |
| Estimated Completion Date | A calendar popup that allows for the selection of the estimated completion date for the selected Capital Project. |
| Justification | A narrative field that allows users to justify why the selected Carryforward Type is chosen. |
| Total Funds | The total funds refer to the General and Non General Funds for the selected Capital Project. |
| Fund | A popup list that allows for the selection of a Fund Detail. |
| Form | A dropdown list that allows for the selection of the capital project status forms. |
| Approved | A checkbox that allows users to check if the selected capital project status Form is approved. |
| Original Approval Date | A calendar popup that allows for the selection of the Original Approval Date of the selected project status Form. |
| Latest Revised Date | A calendar popup that allows for the selection of the Latest Revised Date of the selected project status Form. |
| Current Project Budget | A numeric field that allows for the entry of the Current Project Budget. The amount pre-populated in this column should equal the total of current year appropriations, reappropriations, and transfers (the current operating plan). |
| Project Expenditures | A numeric field that allows for the entry of the |

| | |
|---|---|
| | current year Project Expenditures. The amount entered should represent the total planned expenditures for the current fiscal year. |
| Project Commitments | A numeric field that allows for the entry of current Project Commitments. |
| Carryforward Request | A numeric field that allows for the entry of the Carryforward Request. The value entered should represent the Current Project Budget, less the sum of the Project Expenditures and Project Commitments. |