

**New York State
Division of the Budget**

***Capital Projects
Database***

Agency User Guide – 2011

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BACKGROUND

New York State is improving the way capital projects are evaluated, measured and monitored. The Division of the Budget (DOB) has developed the Capital Projects Database (CPD), which is a statewide, web-based, secure application that will be used to capture agency capital project information. The application will provide policy makers with detailed information in a centralized database whereby prioritized capital projects can be evaluated statewide.

AGENCY REQUIREMENTS

Agency users are required to enter information about proposed capital projects based on thresholds according to the table below. Data should be entered for projects beginning design or construction in FY 2013 and FY 2014 regardless of whether funding is anticipated to come from existing appropriations, reappropriations, or new appropriations.

PROJECT THRESHOLDS:

| Project Threshold | Requirement | Parameters |
|----------------------|---|---|
| \$3 Million or above | Agency enters data for each project equal to or greater than \$3 million in total project cost. | Projects begin design or construction in FY 2013 and FY 2014. |
| Below \$3 Million | Agency enters data for each project if, in the aggregate, projects constitute at least 80% of total value of obligations or encumbrances. | Projects begin design or construction in FY 2013 and FY 2014. |

PROJECT MAINTENANCE THRESHOLD:

The threshold described in the table below relates to maintenance projects only.

| Field Name: Project Type | Threshold for Inclusion in the Database |
|--------------------------|--|
| Maintenance Projects | Greater than \$1 million individually. This eliminates smaller maintenance projects that are not part of a larger overall project rehabilitation. If one project includes several maintenance or maintenance-type components, however, agencies should aggregate these together and include the project in the database under "Maintenance" if the threshold is met. |

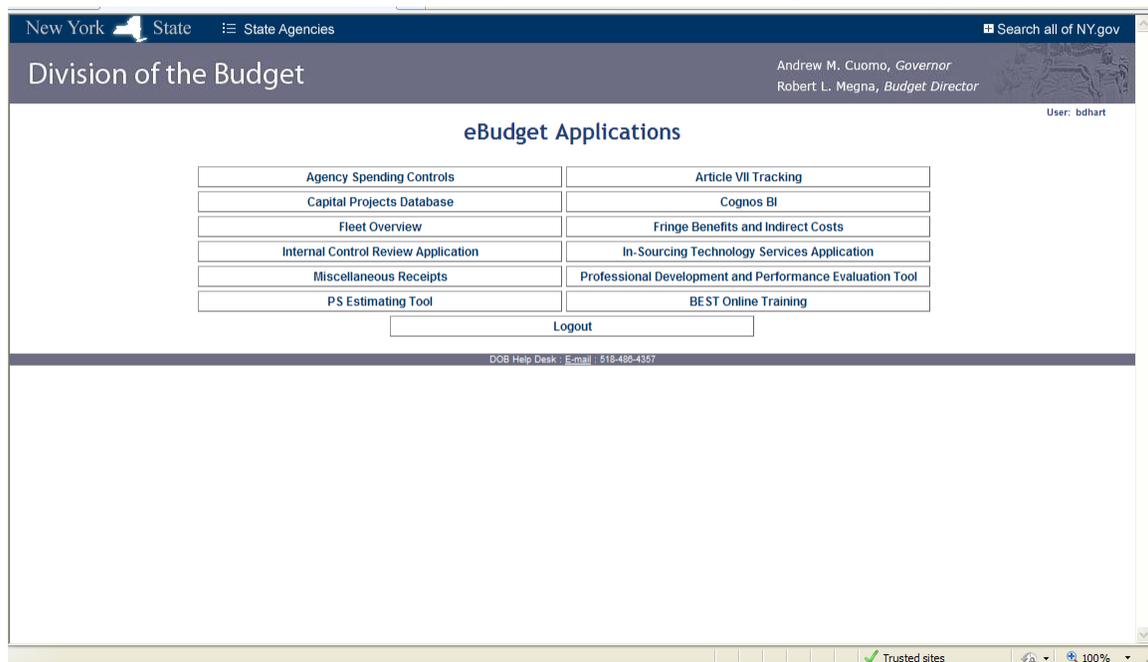
SECURITY

Users have the ability to submit, view and update data on capital projects for their agency, based on access through DOB's **Agency Information Security User Access Request** form. Your DOB designated Agency Security Coordinator has access to this form and must submit it for you. Please contact the DOB Help Desk at 6-HELP (518-486-4357) if you do not know who your security coordinator is.

ACCESS

To access the Capital Projects Database application:

- ✓ Go to DOB's official web page at: <http://www.budget.ny.gov/> and click on the Secure Login link located on the left side of the screen and then click on **eBudget Applications**.
- ✓ Enter your DOB-issued User ID and Password (sample screen below). If you have any problems logging into the application e-mail the Help Desk at: [DOB Help Desk](#) or call 6-HELP (518-486-4357).
- ✓ Once logged into the eBudget Applications page, click on the **Capital Projects Database** link. This will open the application.



The **Help** key in the upper right corner of your screen provides instructions for using the system.

EXIT

To exit the application:

Click on the **Exit** link in the upper right corner of your screen. This brings you back to the eBudget Applications page.

To completely log out of the eBudget Applications, click on the **Logout** link located in the upper right corner of the eBudget Applications screen.

MAIN SCREEN--PROJECT LISTING

Project Filter Section: The **Project Filter** section allows a user to search for a particular project or access all projects for the agency. The list can be filtered by Project #, Project Name, Project Status, and Complete, indicating whether all the data for the project have been entered.

Project Listing Section: The **Project Listing** section shows several fields for all projects entered by the agency, including Project #, Agency, Project Name, Project Cost, and others as shown below. Users can access project data by clicking on **Modify View** to the right side of the end of the row.

A snapshot of the Main Screen with **sample** projects for the Environmental Conservation agency is shown below.

The screenshot displays the 'Division of the Budget Capital Projects Database' interface. At the top, there is a navigation bar with 'Submissions' and 'Project Listing' tabs. The 'Project Listing' tab is active, showing a 'Project Filter' section with input fields for Agency, Project #, Project Name, Project Status, and Complete. Below the filter is a 'Project Listing' table with columns for Project #, Agency, Project Name, Project Cost, Project Status, Complete, Last Updated, Last Updated By, and Modify/View. The table contains two rows of data for the '09*** - Env Conservatn' agency. At the bottom, there is a footer with 'DOB Help Desk : Email : 518-486-4057'.

| Project # | Agency | Project Name | Project Cost | Project Status | Complete | Last Updated | Last Updated By | Modify/View |
|-----------|------------------------|--|--------------|----------------|----------|--------------------|------------------|-------------|
| 01029 | 09*** - Env Conservatn | Hazardous Waste Containment Initiative | 5,000 | Saved | Yes | 10/19/2011 09:36AM | Townsend, Sylvia | |
| 01028 | 09*** - Env Conservatn | Water Experimental Filtration Facility | 50,000 | Saved | Yes | 10/17/2011 02:05PM | Townsend, Sylvia | |

LINK--NEW PROJECT

To enter data for a new project, click on the **New Project** link located on the top right-hand side of the screen. A data entry screen under the **Submissions** tab will be displayed containing the fields listed below.

The screenshot shows a web browser window displaying the 'Capital Projects Database' interface. The page title is 'Division of the Budget Capital Projects Database'. The user is logged in as 'User: bdwebapp21'. The 'Submissions' tab is active, and the 'New Project' link is selected. The form is divided into two main sections: 'Project Description' and 'Project Goals and Risk'.

Project Description

Agency: 09*** - Env Conservatn

*Project Name:

*Project Description and Scope: (0/4000)

*Project Type:

*County: City/Town/Village:

Agency Mission Statement: The mission of the agency is to protect the State's environment and water resources through conservation measures.

*Is the project core to the agency's mission:

*Describe how project supports mission or justify the need for project: (0/4000)

Project Goals and Risk

| Project Goals (check all that apply) | Description of Goals | |
|---|----------------------|----------|
| <input type="checkbox"/> Asset Management | N/A | (3/4000) |
| <input type="checkbox"/> System Expansion | N/A | (3/4000) |
| <input type="checkbox"/> Permanent Job Creation | N/A | (3/4000) |
| <input type="checkbox"/> Revenue Producing | N/A | (3/4000) |

*Has a risk assessment been performed:

Modifying Data: In the **Project Listing** screen, click on **Modify View** to the right side of the end of the row with the project information (Project #, Project Name, etc.). This allows users to change any of the selections previously entered for a project. Save the project again with the new information. *Note--Agency projects in the "Saved" status are not visible to DOB until the projects and priorities have been submitted.*

Deleting a Project: Projects saved to the database will be noted at the top of the screen indicating that a record has been added. To delete a project that has just been added, click on the **Delete** button located between the **Save** and **Reset** buttons at the lower right-hand corner of the screen. Delete other projects in the database by clicking on the **Project Listing** link and **Modify View** in the project row.

LINK--AGENCY MISSION STATEMENT

To provide context for review of the project proposals, include a short description of the agency's mission statement. *The mission statement only needs to be entered once, but it must be entered before submitting prioritized projects to DOB.* The agency's mission statement will appear automatically for each project once entered in the Agency Mission Statement screen.

LINK --PROJECT PRIORITY

Project Priority Section: The **Project Priority** section shows all projects entered and saved by the user, including project number, name, construction start date and project cost. **Users enter numbers to prioritize projects in this screen. Projects cannot have identical numbers.** For example, if improvements to a water treatment plant are identified as the agency's highest priority, with a number 1 designation, a competing project cannot also have the number 1 designation.

DATA ENTRY FIELDS

PROJECT DESCRIPTION

Agency: Only one agency name should appear unless the user has permission to enter data for multiple agencies.

Project Name: Enter a brief name that clearly identifies the capital project.

Project Description and Scope: As succinctly as possible, enter a *description* of the project that explains what it is, what it does, who benefits and any other factual information that gives a reader a basic understanding of the project.

Identify the *project scope*:

- Justification for the project, including, but not limited to: legal requirements; improved infrastructure access, safety, or preservation; environmental stewardship; enrollment growth; advances in technology; energy management; and hazardous materials abatement;
- The extent of the work;
- Timeframes, including whether the project will be constructed in phases;
- Program, site and construction issues; and
- Estimated personnel, equipment, and corresponding space and adjacency requirements.

Example: In order to meet federal legal requirements, Agency A is building a new wing for patient therapy comprised of 26,000 square feet over a two phases, totaling sixteen months. The new wing is expected to support approximately 100 individuals on a daily basis, with a ratio of 1 staff to 10 clients. The first phase will consist of demolition of the existing structure and improving nearby infrastructure and paving an adjacent parking area for 50 vehicles. Because the proposed wing is near a wetland an environmental assessment is necessary. It is estimated that 60 construction employees will be working on the wing at any one time, with heavy equipment, such as bulldozers and construction vehicles. Scaffolding will be necessary and night work is expected due to limitations of regular hours.

Project Type: Choose one broad category to generally describe the type of work to be performed or capital asset to be acquired, such as equipment. (See Thresholds Above) Some agencies may consider "Maintenance" to be "Rehabilitation/Improvement." Maintenance generally extends the useful life of the capital asset.

County: Select the county or New York City borough where the project will be located. Use "Statewide" for a project located in more than one county.

City, Town, Village: If known, indicate the city, town or village where the project will be located.

Agency Mission Statement: The agency's mission statement will appear automatically once entered in the Agency Mission Statement screen. If a description has not been provided, "Not Entered" will appear with a link to the Agency Mission Statement screen.

Is the Project Core to the Agency's Mission: Indicated Yes/No as to whether the capital project is central to the agency's mission.

Describe How Project Supports Mission or Justify the Need for Project: In brief, describe how the project supports the mission of the agency, or why the project is being proposed.

PROJECT GOALS AND RISK

Project Goals: Choose the category that describes the overall goal of the project. One or more of the goals may be applicable to a specific project. *Describe in detail how the proposed capital project will achieve those goals.*

Asset Management: Describe how the proposed project would identify and prioritize facility and infrastructure physical, functional, and budgetary needs. Asset management also includes the process of reinvesting funds into physical assets in support of the organizational mission, above and beyond normal routine operations and maintenance.

System Expansion: Describe how the proposed project would expand system operations, facilities or services.

Permanent Job Creation: Describe how the proposed project would result in permanent job creation.

Revenue Producing: Describe how the proposed project would generate revenue. For example, revenue would be generated from the sales of suites to be installed during the renovation of Albany Baseball Stadium and from anticipated higher ticket sales.

Risk Assessment: Respond “Yes” or “No” as to whether the agency has performed a risk assessment. A project risk is any uncertainty that, if it occurs, would affect one or more project objectives. **If “Yes,” describe any risks to the project in terms of scope, cost, time, safety, and social and environmental impacts.**

Project Alternatives Considered: Respond “Yes” or “No” as to whether alternatives to the proposed project have been considered. **If “Yes,” fully describe each alternative.**

PROJECT DESIGN, CONSTRUCTION, AND MAINTENANCE

Design Start Date: Using the calendar to the right of the date box, click on the date the design phase is expected to begin.

Construction Start Date: Using the calendar to the right of the date box, click on the date the project is expected to start construction.

Project End Date: Using the calendar to the right of the date box, click on the date the project is expected to end construction.

Is the Project Shovel Ready: Indicate whether the project construction can begin immediately or within a short period of time once funding is secured. In many cases, "shovel-ready" projects have the preliminary design work already done and environmental, architecture, zoning, legal considerations or other such factors have been addressed.

Project Phases: Indicate “Yes” or “No” as to whether the construction of the project will be completed in phases.

Will Additional Funding be Needed/Year: If Yes, indicate in what year the funds will be necessary.

Maintenance Plan: Indicate “Yes” or “No” as to whether there is a maintenance plan associated with the proposed project. A maintenance plan should include actions and expenditures that extend the useful life of the capital asset, including upgrades and replacements of building systems, such as structure, enclosure, mechanical, plumbing and electrical systems.

Anticipated Average Annual Maintenance Cost: Estimate the average annual maintenance costs (preventive and remedial upkeep) of the project.

Deferred Maintenance: Provide an estimate of any deferred maintenance that may be related to the project. **Include information on how the estimate was determined and calculated.** Measurements may be conducted through the Condition Assessment Survey" method - a periodic inspection of Property Plant and Equipment to determine their current condition and to estimate costs to correct any deficiencies.

Describe Existing Deferred Maintenance: Briefly describe any deferred maintenance related to the project. Deferred maintenance and repairs are activities that were not performed when they should have been or were scheduled to be and which, therefore, are put off or delayed for a future period. Maintenance and repairs are activities directed toward keeping fixed assets in an acceptable condition. Activities include preventive maintenance; replacement of parts, systems, or components; and other activities needed to preserve or maintain the asset.

Useful Life: Indicate the useful life of the capital project. Useful life ranges from 1 year to 50 years or more. Capital assets typically have a useful life of 25 years.

Project Monitoring: Indicate whether the agency will continue to monitor the project *after* construction. Monitoring may include reviewing expenditures, identifying changes to scope, and evaluating results compared to established measures of performance. If **Yes**, describe the project monitoring plan in the text box provided.

Engineering Assessment: Indicate whether an engineering assessment has been performed. Depending on the project, this may include reports and studies, such as a safety assessment, groundwater evaluation, transportation feasibility impact study, conceptual land use diagrams and review of a project's Emergency Action Plan.

Environmental Assessment: Indicate whether an environmental assessment has been performed. An environmental assessment identifies possible environmental effects, proposes measures to mitigate adverse effects, and predicts whether there will be significant adverse environmental effects, even after the mitigation is implemented.

Historical Archaeological Assessment: Indicate whether an archaeological assessment has been performed. Archaeological assessments are usually commissioned in response to projects or developments where archaeological sites may be affected. This type of assessment ensures that the sites can be avoided and protected or adverse effects minimized.

Historic Structure/Preservation Assessment: Indicate whether an historic structure/preservation assessment has been performed. An assessment typically involves the documentation of the construction history and current physical condition of the historic property. It is usually undertaken after the building or property has been identified as historically significant and recognized through local landmarking, or through state or national historic places registers. In most cases, the Historic Structure/Preservation Assessment will become the basis for the overall preservation plan for the property including all phases such as stabilization, restoration or rehabilitation and on into operations and maintenance.

JOBS CREATED

Number of Jobs Created: Indicate the *total* number of jobs the project is expected to generate.

Direct Jobs--Of the total number of jobs created, show the *total number of direct jobs* that will result from the project. *Direct jobs* are those that specifically relate to the project and may be either full-time or part-time.

Direct Permanent Jobs: *Permanent jobs* are anticipated direct/additional hirings at the facility itself, including mental hygiene physicians and nurses, administrators, scientists, professors and others.

Direct Temporary Jobs: *Temporary jobs* are those associated with the development and construction of the capital project, such as a roadway, including builders, engineers, construction contractors, bulldoze operators, masons and others.

Indirect Jobs--Of the total number of jobs created, show the *total number of indirect jobs* that will result from the project. *Indirect jobs* are those that are ancillary to the project and may occur as a result of a capital investment, such as a building expansion. Indirect jobs may occur in retail sales businesses, housing, tourism, and other business sectors.

Example: Mental health inpatient care facilities in New York City ranked 67th in the State in total jobs in 2010 with 78,400 direct employees. These care centers purchased goods and services needed to operate their facilities and deliver their services. This spending supported additional employment in the businesses that provided those goods and services. This indirect employment was an estimated 31,219 jobs in 2010.

Estimating the number of indirect jobs requires precise methodology. Describe the type of methodology used to estimate any indirect job impacts. Models may include [IMPLAN](#) or [Regional Economic Models. Inc.\(REMI\)](#).

PROJECT FUNDING

Project Costs: For each year that project spending will occur, enter the total amount of estimated *disbursements*. Projects beginning in FY 2013 would be consistent with the five-year plan (through FY 2017) and those beginning in FY 2014 would carry through to FY 2018.

Ongoing Financial Commitment: For most projects, agencies will check “No” regarding this question. Check “Yes” if the project will have an established, ongoing financial commitment through a MOU, an agreement with a locality, or other arrangement whereby a set dollar amount will be committed each year.

State Asset: Indicate whether the project is a State asset.

Appropriation Year: Indicate the appropriation year by which the project will be funded.

Funding Types: Select the percentage of funding type or types that will be used to reimburse the spending from the project, such as Authority Bonds or General Obligation Bonds. Funding may be one source, or split among different sources.

BUDGET/FINANCE CONTACT INFORMATION

Complete the information requested for a contact person familiar with the costs and financing of the project.

PROGRAM CONTACT INFORMATION

Complete the information requested for a contact person familiar with the programmatic aspects of the project.

PRINTING REPORTS

Agencies can print reports of selected fields from the **Project Listing** and **Project Priority** screens. Click on the **Print icon** at the top right hand corner of each screen to print a copy of each page. A snapshot of the Project Priority Print screen with **sample** projects is shown below.

Division of the Budget
Capital Projects Database
 Help | Exit
 User: bdwebapp21

Submissions
[Project Listing](#) | [New Project](#) | [Agency Mission Statement](#) | [Project Priority](#)

Project Priority - 09*** - Env Conservatn

All dollar amounts are in thousands

| Priority | Project # | Project Name | Construction Start Date | Project Cost | Complete | Status |
|----------|-----------|--|-------------------------|--------------|----------|--------|
| 1 | 01029 | Hazardous Waste Containment Initiative | 10/28/2011 | 5,000 | Yes | Saved |
| 2 | 01028 | Water Experimental Filtration Facility | 02/01/2013 | 50,000 | Yes | Saved |

2 records found, displaying 1 to 2.

Save Submit To DOB Reset

Status
 Last Submitted: Not Yet Submitted