

## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 1

### 1. **Purpose and Scope:**

This item provides all agencies having Capital Construction Fund appropriations with the information necessary to prepare "certificates of approval of availability" to segregate these funds together with other procedures to be followed for the effective administration of the certificate process.

This information is presented as follows:

2. General Guidelines
3. General Preparation Instructions
4. Instruction for Special Type Certificates
  - a. Construction Supplements
  - b. Supplement for Acquisition of Real Property
  - c. Supplement to Reinstate Lapsed Appropriation
  - d. Transfer of Appropriations
  - e. Procedure for Processing Transfer of Appropriations Between Agencies
  - f. Preparation of Certificate for Consolidated Reappropriations
  - g. Procedures for Allocation of Rehabilitation and Improvement Funds
  - h. Procedures for Allocation of Accessibility of Facilities for the Handicapped Funds.
5. Supplementary Data

### 6. **General Guidelines:**

As far as practicable, all departments and agencies shall prepare certificates of availability to be issued under Capital Construction Fund appropriations subject to the following conditions:

- a. Provisions of the appropriation acts and the State Finance Law shall apply.

## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 2

- b. The certificate of availability shall reflect the allocation of funds requested and the status of the appropriation covered by the certificate. A basic requirement is the maintenance of appropriation records in such manner as to identify the purpose of the allocation and to show the commitment status of the appropriation at all times. These records will be in agreement with the records of Audit and Control upon completion of each certificate processed.
- c. Certificates of availability will be approved only in sequence of request. **In the event that an allocation request is disapproved or approval is withheld temporarily for some reason, the covering certificate will be returned to the department for cancellation.** No further allocation against the appropriation will be made until such cancellation is accomplished.
- d. The Division of the Budget reserves the right to amend the certificate form as may be required or to assume the preparation of certificates at any time.

### 7. General Preparation Instructions:

As far as practicable, certificates will be one page documents. In some cases it may be necessary to attach a schedule of items covered by the certificate. All moneys are to be shown in dollar amounts. Requests which include pennies should be raised to the next highest dollar before preparing the certificate. Each certificate will be for a single appropriation and will contain the following information: (for certificate format, refer to appropriate blank samples certificates on pages 6, 8 and 10).

#### Certificate

<u>Item</u>	<u>Description</u>
(1a)	Department or Agency
(1b)	Institution or appropriation purpose
(1c)	Original chapter/section/year
(2a)	Date of preparation of certificate
(2b)	Date of immediately prior certificate (if any)
(3)	Amount of appropriation covered by certificate
(4)	Department or Agency to which appropriation is made or funds are released

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 3

(5) Chapter/section/year of original appropriation, any amending chapters, and latest reappropriation chapter (if any) to be identified as "Regular" or "First Instance" funds and labeled "consolidated" or "as transferred by" if applicable

(6a) Institution name (where applicable)

(6b) The appropriation title (short title sufficient for identification is acceptable)

(6c) For **line item appropriation** segregations, the amount of the current allocation request should appear opposite its intended purpose

200 Land          300 Design          500 Construction          600 Equipment

(6d) Lump sum appropriations will be apportioned by **institution or other authorized breakdown and project description** (Sample C only)

(6e) The amount of previous allocations (blank if none)

(6f) Amount being allocated

(6g) Total of 6e and 6f

(7) **Pertains to Office of Parks and Recreation and Environmental Conservation only**

Federal aid (Land and Water conservation Fund Act 1965 as amended) for which some projects may be eligible is appropriated separately in a lump sum in the amount of the anticipated Federal apportionment. The specific projects for which the use of Federal aid may be approved may not be determined at the time the budget bill is prepared.

When an allocation of funds is requested for a specific project which has received Federal approval, 50 percent of the amount requested is allocated from the hard dollar appropriation and 50 percent from the first instance lump sum.

(8) Footnote — each appropriation amount being released will be footnoted to indicate the specific reason for and the location of the change.

Projects will be identified by the specific Office of General Services (OGS) number and the suffix letters to indicate trade: e.g., C, H, S, E (if applicable).

## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 4

Land acquisition will identify the parcel.

Consulting engineer or architectural services will include the private firm (PF) number previously assigned by the Division of the Budget.

The footnote for all allocations should include the following completed reference codes of the Department of Audit and Control to identify the appropriation:

Dept./Div.      Fund      Year/Bill      Line No.

### Distribution

All certificates shall be grouped and addressed for distribution as indicated below:

	Number of Copies	
	Slotted	Plain
Division of the Budget	1	6 <sup>a</sup>
State Comptroller		3
Senate Finance Committee		1 <sup>b</sup>
Assembly Ways and Means Committee		1 <sup>b</sup>
Department		1 <sup>c</sup>
<b>Total number of copies to the Division of the Budget</b>	<b>13</b>	

In addition to the certificates forwarded to the Division of the Budget (DoB), any department or agency which utilizes the Office of General Services as their letting or contracting agency shall prepare and distribute upon receiving DoB approval, the certificates indicated below:

OGS Building Design and Construction Attention: Assistant Chief, Bureau of Contracts		4 <sup>d</sup>
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Sample Certificates on pages 6, 7, 8, 9, 10, and 11

<sup>a</sup>When a certificate from a lump sum appropriation covers apportionments for more than two institutions, an additional copy of the certificate will be required for each institution in excess of two.

<sup>b</sup>To be accompanied by a carbon copy of the request for funds.

<sup>c</sup>Stamped signature copy will be returned to your department to indicate certificate approval.

<sup>d</sup>To be accompanied by the blue copy of form AC 340 when requesting funds in order to award a construction contract.

## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 5

Sample A to be used when requesting allocations from new or previously unsegregated line item appropriations. (Initial request.)

Sample B to be used when requesting an additional allocation from a line item appropriation. (Subsequent requests.)

Sample C to be used when requesting allocations against lump sum appropriations. (Either initial or subsequent request.)

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 6

**SAMPLE A — NEW ALLOCATION**

(1a) EXECUTIVE DEPARTMENT DIVISION OF THE BUDGET (1b) (1c) CERTIFICATE OF APPROVAL OF AVAILABILITY

Pursuant to the provisions of the appropriation act, the following amount or so much thereof as shall be sufficient to accomplish the purposes designated, shall be available for expenditures beginning April 1, 19\_\_.

DATE: (2a) AMENDS CERTIFICATE DATED: (2b)  
 FUND: Capital Construction AMOUNT: (3)  
 DEPARTMENT OR AGENCY: (4)  
 TITLE: Construction, Reconstruction and Improvements  
 CHAPTER OR FISCAL YEAR: (5)

	<u>Previous Allocation</u>	<u>Change</u>	<u>Current Allocation</u>
(6a)			
(6b)			
(6c)	(6e)	(6f)	(6g)
(7)	<hr/>	<hr/>	<hr/>
TOTAL AMOUNT APPROVED			
UNALLOCATED	<hr/>	<hr/>	<hr/>
TOTAL AMOUNT APPROPRIATED			

(8)  
Dept./Div.      Fund      Year/Bill      Line No.

/s/ \_\_\_\_\_  
 For the Director of the Budget

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 7

**SAMPLE A — NEW ALLOCATION**

FDC ROCKLAND INSTITUTE 54/1/77

EXECUTIVE DEPARTMENT CERTIFICATE OF APPROVAL  
DIVISION OF THE BUDGET OF AVAILABILITY

Pursuant to the provisions of the appropriation act, the following amount or so much thereof as shall be sufficient to accomplish the purposes designated, shall be available for expenditures beginning April 1, 19\_\_.

DATE: November 16, 1997 AMENDS CERTIFICATE DATED:  
 FUND: Capital Construction AMOUNT: \$69,000  
 DEPARTMENT OR AGENCY: Facilities Development Corporation  
 TITLE: Construction, Reconstruction and Improvements  
 CHAPTER OR FISCAL YEAR: 54/1/77 (Regular)

	Previous Allocation	Change	Current Allocation
<u>Rockland Institute</u>			
Installation of electric feeder for building number 37			
500 Construction			\$19,950*
TOTAL AMOUNT APPROVED			19,950
UNALLOCATED			49,050
TOTAL AMOUNT APPROPRIATED			\$69,000

\*Spec. 28920-E — Provide line voltage regulator for computer equipment - building number 37.

<u>Dept./Div.</u>	<u>Fund</u>	<u>Year/Bill</u>	<u>Line No.</u>	<u>Char</u>
1534	002	7718	040	500

/s/ \_\_\_\_\_  
For the Director of the Budget

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 8

**SAMPLE B — ADDITIONAL ALLOCATION FROM LINE ITEM APPROPRIATION**

(1a) (1b) (1c)

EXECUTIVE DEPARTMENT  
DIVISION OF THE BUDGET

CERTIFICATE OF APPROVAL  
OF AVAILABILITY

Pursuant to the provisions of the appropriation act, the following amount or so much thereof as shall be sufficient to accomplish the purposes designated, shall be available for expenditures beginning April 1, 19\_\_.

DATE: (2a) AMENDS CERTIFICATE DATED: (2b)

FUND: Capital Construction AMOUNT: (3)

DEPARTMENT OR AGENCY: (4)

TITLE: Construction, Reconstruction and Improvements

CHAPTER OR FISCAL YEAR: (5)

	<u>Previous Allocation</u>	<u>Change</u>	<u>Current Allocation</u>
(6a)			
(6b)			
(6c)	(6e)	(6f)	(6g)
(7)	<hr/>	<hr/>	<hr/>
TOTAL AMOUNT APPROVED			
UNALLOCATED	<hr/>	<hr/>	<hr/>
TOTAL AMOUNT APPROPRIATED			

(8)

Dept./Div.      Fund      Year/Bill      Line No.

/s/ \_\_\_\_\_  
For the Director of the Budget

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 9

**SAMPLE B — ADDITIONAL ALLOCATION FROM LINE ITEM APPROPRIATION**

SUCF GENEVA 54/5/75

EXECUTIVE DEPARTMENT  
DIVISION OF THE BUDGET

CERTIFICATE OF APPROVAL  
OF AVAILABILITY

Pursuant to the provisions of the appropriation act, the following amount or so much thereof as shall be sufficient to accomplish the purposes designated, shall be available for expenditures beginning April 1, 19\_\_.

DATE: May 5, 1977 AMENDS CERTIFICATE DATED: October 14, 1976

FUND: Capital Construction AMOUNT: \$143,000

DEPARTMENT OR AGENCY: State University Construction Fund (31)

TITLE: Construction, Reconstruction and Improvements

CHAPTER OR FISCAL YEAR: 54/5/75 and 54/6/77 (First Instance)

	<u>Previous Allocation</u>	<u>Change</u>	<u>Current Allocation</u>
<u>New York State Agricultural Experiment Station at Geneva</u>			
Replace electric feeder cable and transformer			
500 Construction	<u>\$103,700</u>	<u>+\$15,330*</u>	<u>\$119,030</u>
TOTAL AMOUNT APPROVED	103,700	+15,330	119,030
UNALLOCATED	<u>39,300</u>	<u>-15,330</u>	<u>23,970</u>
TOTAL AMOUNT APPROPRIATED	\$143,000	\$0	\$143,000

\*SUCF Project No. 34-009 — Replace electric feeder cable and transformer - Hendrick Hall. For orders on Contract No. D120090.

<u>Dept./Div.</u>	<u>Fund</u>	<u>Year/Bill</u>	<u>Line No.</u>	<u>Mo. Char.</u>
2846	002	7519	941	500

/s/ \_\_\_\_\_  
For the Director of the Budget

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 10

**SAMPLE C — FOR USE IN REQUESTING APPROPRIATIONS FROM LUMP SUM**

(1a) \_\_\_\_\_ (1b) \_\_\_\_\_ (1c) \_\_\_\_\_

EXECUTIVE DEPARTMENT  
DIVISION OF THE BUDGET

CERTIFICATE OF APPROVAL  
OF AVAILABILITY

Pursuant to the provisions of the appropriation act, the following amount or so much thereof as shall be sufficient to accomplish the purposes designated, shall be available for expenditures beginning April 1, 19\_\_.

DATE: (2a) \_\_\_\_\_ AMENDS CERTIFICATE DATED: (2b) \_\_\_\_\_

FUND: Capital Construction \_\_\_\_\_ AMOUNT: (3) \_\_\_\_\_

DEPARTMENT OR AGENCY: (4) \_\_\_\_\_

TITLE: Construction, Reconstruction and Improvements

CHAPTER OR FISCAL YEAR: (5) \_\_\_\_\_

	<u>Previous Allocation</u>	<u>Change</u>	<u>Current Allocation</u>
(6a)			
(6b)			
(6d)	(6e)	(6f)	(6g)
(7)	_____	_____	_____
TOTAL AMOUNT APPROVED			
UNALLOCATED	_____	_____	_____
TOTAL AMOUNT APPROPRIATED			

(8)

Dept./Div.      Fund      Year/Bill      Line No.

/s/ \_\_\_\_\_  
For the Director of the Budget



## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 12

### 4. Instructions for Special Type Certificates:

#### a. Construction Supplements

Construction appropriations may be increased by supplements from funds specifically appropriated for such supplementing purposes.

The supplementation and the allocation of such supplement are accomplished as indicated on the sample certificates included. The supplemental appropriation to be used will be determined by the Division of the Budget (DoB) in each individual case. Therefore, **the department will clear by telephone all supplemental requests with the capital construction budget examiner responsible for their agency's budget before preparing certificates.**

The department shall submit to DoB with the segregation request, the certification required by the appropriation act.

When multiple supplements are required for an appropriation, prior supplements for the appropriation being supplemented must be shown on the segregation. Only one amount need be shown as supplements from a single legislative authorization. See samples on pages 13 and 14. (The letter "K" on the samples is an indicator code used by Audit and Control and should appear on all certificates to indicate a supplement.)





## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 15

b. Supplement for Acquisition of Real Property

Acquisition of property appropriations may be increased by supplements from funds specifically appropriated for supplementing purposes.

The supplementation and the allocation of such supplement are accomplished as indicated on the included sample certificate. **The department will clear by telephone all supplemental requests with the capital budget examiner responsible for their agency's capital budget before preparing certificates.**

When multiple supplements are required for an appropriation, prior supplements for the appropriation being supplemented must be shown on the segregation. Only one amount need be shown as supplements from a single legislative authorization. See sample on page 16. (The letter "K" on the sample is an indicator code used by Audit and Control and should appear on all certificates to indicate a supplement.)



**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 17

c. Supplement to Reinstate Lapsed Appropriation

Appropriation which lapse prior to full payment of outstanding obligations may be reinstated from All State Departments and Agencies Supplemental Appropriations in order to liquidate outstanding obligations.

Such supplement shall be made available upon certification of need by the respective public officer of the State department, agencies or instrumentalities concerned that there are obligations remaining from an appropriation which has lapsed prior to the full payment of obligations. Such certification shall indicate the amount of the appropriation which lapsed and the amount required to finance outstanding obligations. (See sample certificate on page 18.)



## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 19

d. Transfer of Appropriations

Section 93 of the State Finance Law authorizes the transfer of funds between appropriations under certain prescribed conditions.

When such conditions are met, a Certificate of Transfer may be prepared showing:

- i. Appropriation from which funds are to be transferred and amount of such transfer.
- ii. Appropriation to which funds are to be transferred and amount of such transfer.

Certificates of transfer shall be numbered in sequence by agency.

In addition, certificates of availability shall be prepared showing the reduction of one appropriation, the increase of the other appropriation and the allocation of funds as requested. See sample certificates on pages 20, 21 and 22. (The letter "T" on the samples is an indicator code used by Audit and Control and should appear on all certificates to indicate a transfer. The column entitled "Available for Transfer or Allocation" is the amount of the appropriation or consolidated reappropriation as previously adjusted by supplementation, transfer or partial repeal.)

The department shall submit the certification of necessity required by section 93 of the State Finance Law along with the certificates of availability.

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 20

**SAMPLE**

TRANSFER NO. 76

Parks and Recreation

CERTIFICATE OF TRANSFER AND ALLOCATION  
CAPITAL CONSTRUCTION FUND

Pursuant to the provisions of subdivision 4, section 93, of the State Finance Law, the following amounts are hereby transferred and allocated from the appropriation herein below designated to supplement the appropriation specified and such amount transferred and allocated shall be immediately available for the identical purposes of the appropriation supplemented.

Date: November 1, 1977

Department or Agency: Executive — Office of Parks and Recreation

	<u>Available for Transfer and Allocation</u>	<u>Amount to be Transferred</u>	<u>Balance of Adjusted Appropriation</u>
FROM: <u>Niagara Frontier State Park and Recreation Region</u> Niagara Reservation Reconstruction of Shoreline T	\$100,000	-\$7,755	\$92,245
54/01/76 RE: 54/06/77			
TO: <u>Palisades Interstate Park Region</u> Tallman Mountain State Park Continuation of reconstruction of pool and bathhouse	\$150,000	+\$7,755	\$157,755
54/01/74 RE: 54/06/77			

Certification: Commissioner of Parks and Recreation letter dated November 1, 1977

/s/ \_\_\_\_\_  
For the Director of the Budget





## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 23

e. Procedure for Processing Transfer of Appropriations Between Agencies

- i. Identify all appropriations and existing status, by department and/or program, which are subject to transfer as indicated by the appropriate legislation.
- ii. Appropriations should be transferred by program category, as indicated in the current Capital Construction Budget. Only where program administrative reorganization takes place should the sequence of presentation be altered.
- iii. Format of transfer certificate:

A single transfer certificate will be issued to each agency affected by the transfer legislation and will include the following information:

- Introductory wording sufficient to accomplish the purposes indicated in the legislation. (See sample certificate on page 24.)
- Each appropriation should be number consecutively.
- New appropriations, reappropriations and lapsed appropriations remaining in force will be included under the appropriate program category or subsequent headings.
- Within each category, the appropriations should be listed from oldest to newest as indicated by fiscal year of the original appropriation act.

For each appropriation listed, the following information shall be included:

- Full or shortened wording sufficient to identify the appropriation including chapter/section/year reference.
  - Unexpended balance from the Comptroller's records for the effective date of the transfer.
  - Unallocated balance and original appropriation amount are to be entered from the most recent issued budget certificate of approval of availability.
- iv. After the transfer is accomplished, funds will be allocated on individual segregations. Departments concerned with interdepartmental transfers should contact the Division of the Budget before preparing the transfer certificate of any subsequent segregations.

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 24

**SAMPLE**

Transfer to \_\_\_\_\_

chapter/year

EXECUTIVE DEPARTMENT  
DIVISION OF THE BUDGET

CERTIFICATE OF APPROVAL  
OF AVAILABILITY

In accordance with the provisions of Chapter \_\_\_\_ of the Laws of \_\_\_\_, the following unexpended appropriation balances are transferred between State agencies and made available for use and expenditure for the same purpose for which originally appropriated in accordance with the following listing effective \_\_\_\_\_ (effective date of transfer).

FUND: Capital Construction

FROM: (Department from which funds are transferred)

TO: (New Department or Agency)

Unexpended Balance  
(Date of Transfer)

1. Chapter/section/year  
Appropriation wording

Original Appropriation Amount

Total Amount Approved \_\_\_\_\_

Unallocated - per last certificate \_\_\_\_\_

Total Transferred - Regular \_\_\_\_\_

Total Transferred - First Instance \_\_\_\_\_

/s/ \_\_\_\_\_  
For the Director of the Budget

Date of Certificate

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 25

f. Preparation of Certificate for Consolidated Reappropriations

Capital Construction Fund reappropriations bill may reappropriate similar existing appropriations into a single consolidated reappropriation. In these cases, the newly consolidated reappropriation will be identified by the reappropriation (chapter/section/year) of the fiscal year in which consolidated. The identity of the original appropriations (chapter/section/year) will be included for reference.

Supplemental Instructions to General Preparation Instructions (see sample certificate on page 26)

- (3) Will be Audit and Control's April 1 unexpended balances of the combined appropriations.
- (5) Use new reappropriation chapter/section/year identified as Regular or First Instance consolidated.
- (6g) Will be determined by subtracting the sum of the unallocated balances of combined appropriations from the amount shown for (3). This will also be the amount shown for total amount approved.

Unallocated balance as determined for calculation for (6g) above. Amount appropriated is the same amount as (3).

NOTE: Continue to show any detail breakdown from any of the combined appropriations; e.g., Institutions, 200 Land, 300 Design, 500 Construction, 600 Equipment or any other authorized breakdown.

**BUDGET POLICY AND REPORTING MANUAL**

<i>date</i> 2/1/80	<b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 26

**SAMPLE**

(1a)	(1b)	reappropriation chapter/section/year (1c)
EXECUTIVE DEPARTMENT DIVISION OF THE BUDGET		CERTIFICATE OF APPROVAL OF AVAILABILITY

Pursuant to the provisions of the appropriation act, the following amount or so much thereof as shall be sufficient to accomplish the purposes designated, shall be available for expenditures beginning April 1, 19\_\_.

DATE: (2a)	AMENDS CERTIFICATE DATED: (2b)
FUND: Capital Construction	AMOUNT: (3) Combined Reappropriations April 1 Unexpended Balance
DEPARTMENT OR AGENCY: (4)	
TITLE: Construction, Reconstruction and Improvements	
CHAPTER OR FISCAL YEAR: (5)	Reappropriation chapter/section/year, Regular or First Instance, Consolidated (original chapter/section/year example 50/1/69)

	<u>Previous Allocation</u>	<u>Change</u>	<u>Current Allocation</u>
(6a)			
(6b)			
(6c or 6d)			(6g)
TOTAL AMOUNT APPROVED			Same as (6g)
UNALLOCATED			
TOTAL AMOUNT APPROPRIATED			Same as (3)

(8) Footnote for first consolidated certificate to read:  
The sum herein allocated represents the unexpended balance on April 1, 19\_\_ of previous project approvals and these same sums shall continue to be available for the same purpose as the prior allocations unless otherwise amended.

Dept./Div.      Fund      Year/Bill      Line No.

/s/ \_\_\_\_\_  
For the Director of the Budget

## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 27

g. Procedures for Allocation of Rehabilitation and Improvement Funds

The All State Departments and Agencies appropriation for rehabilitation and improvements will be apportioned to each department or agency as a lump sum. These funds will be allocated after the Division of the Budget (DoB) has approved the department's or agency's program of projects and has returned to the agency a schedule of the projects approved.

This procedure is provided to prevent delays in the awarding of contracts and provide more flexibility in interchangeability of funds between projects and/or from the unprogrammed sum.

i. *Method:*

Master certificate of apportionment — All State Departments and Agencies. To be amended only when the apportionment to a department or agency is increased or decreased.

Certificate of approval of availability to each department or agency to be amended only as in above. "Schedule of Approved Projects" for each department or agency will be updated quarterly

DoB approval is required to changes in project costs aggregating greater than 30 percent of the programmed sum for a particular project. Approval is also required for the addition or deletion of projects from the approved schedule. Notification of this approval will be a DoB approved copy of the department's letter of request outlining the proposed change. In cases of emergency, prior approval may be obtained by telephone with a letter to follow. The schedule of approved projects will be amended quarterly to reflect these approved changes.

NOTE: All initial certificates will be prepared by DoB unless agency is otherwise instructed.

ii. *Departmental Reporting:*

Each department will submit a statement quarterly, within ten days of the end of the quarter, **reporting the status of its program**. An updated copy of the current approved schedule under a letter of transmittal will be acceptable. This schedule will be updated to reflect:

— Latest project estimates or contract bids.

## BUDGET POLICY AND REPORTING MANUAL

<i>date</i> 2/1/80	<i>subject</i> <b>Capital Construction Fund Segregation Process</b>	<i>item</i> E-050
<i>supersedes</i> 4/1/73		<i>page</i> 28

- Approved additional projects.
- Approved deletions of projects from the program
- Estimated bid dates for items in planning or status of construction (%).
- Final cost on completed projects.

It will be necessary for the letter of transmittal to be accompanied by adequate background in support of:

- New projects.
- Deletions of projects from the program.
- Increases or decreases in the scope of an approved project which exceed the original estimate by 30 percent if such changes have not heretofore been supported by letter.

### h. Procedures for Allocation of Accessibility of Facilities for the Handicapped Funds

The All State Departments and Agencies appropriation for Accessibility of Facilities for the Handicapped will be segregated and made available to each agency as a lump sum.

Unlike the rehabilitation and improvement program, the funds **will not be apportioned** to the various agencies but will be segregated under All State Departments and Agencies (Audit and Control's department/agency code of 21710) and each agency will be furnished with the coding necessary to process vouchers for payment. In addition, agencies will be required to establish whatever additional controls are necessary to identify individual project expenditures.

Funds will be allocated and made available after DoB has approved the department's or agency's program of projects and has returned to the agency an approved schedule of projects to be advanced.

This procedure is provided to prevent delays in the awarding of contracts and provide more flexibility in interchangeability of funds between projects and/or from an agency's unprogrammed amount.

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i. *Method:*

Master certificate of apportionment — All State Departments and Agencies. Will be issued to make funds initially available to departments and agencies as schedules of projects are approved.

DoB approval is required to changes in project costs aggregating greater than 30 percent of the programmed sum for a particular project. Approval is also required for the addition or deletion of projects from the approved schedule. Notification of this approval will be a DoB approved copy of the department's letter of request outlining the proposed change. In cases of emergency, prior approval may be obtained by telephone with a letter to follow. The schedule of approved projects will be amended quarterly to reflect these approved changes.

ii. *Departmental Reporting:*

Each department will submit a statement quarterly, within ten days of the end of the quarter, **reporting the status of its program**. An updated copy of the current approved schedule under a letter of transmittal will be acceptable. This schedule will be updated to reflect:

- Latest project estimates or contract bids.
- Approved additional projects.
- Approved deletions of projects from the program.
- Estimated bid dates for items in planning or status of construction (%).
- Final cost on completed projects.

It will be necessary for the letter of transmittal to be accompanied by adequate background in support of:

- New projects.
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### 5. **Supplementary Data:**

The Division of the budget, in conjunction with the Department of Audit and Control, has undertaken a project designed to speed the obligation of funds for the construction of State buildings and facilities. The procedure, intended to reduce the contract award period, will involve construction only and will exclude all highway, parkway, grade crossing elimination and protection, canal, flood control and shore protection projects.

The procedure is as follows:

- a. Upon the receipt of acceptable bids, the initiating agency will assemble (i) a letter of request for funds, accompanied by the necessary number of certificates of approval of availability; (ii) the Comptroller's copies of form AC 340 (contract encumbrance adjustment form) with a copy of the certificate attached; (iii) a copy of the tabulation of bids; and (iv) a letter of recommendation of contract award from the construction agency. This entire package will be transmitted to the Capital Facilities and Authorities Budgeting Group of the Division of the Budget.
- b. The Capital Facilities and Authorities Budgeting Group will retain all data until the certificate of approval of availability has been approved. Minor errors on the certificate will be corrected but no attempt will be made to review or correct form AC 340. If major changes should be necessary on the certificate, all copies of the certificate, form AC 340, the tabulation of bids and the letter of recommendation of contract award will be returned to the initiating agency.
- c. The section entitled "Contract Identification" on form AC 340, should list the accepted abbreviated title of appropriation, the contractor's name, the specification number and any additional information contained in the footnote on the certificate, or as required by Audit and Control.
- d. After the certificate has been approved, DoB will transmit to Audit and Control: (i) Comptroller's copies of form AC 340; (ii) the tabulation of bids; (iii) the letter of recommendation of bid award and copies of segregation of funds. Concurrently, DoB will transmit copies of the approved certificate to the originating agency and the legislative finance committees. If the Office of General Services is to act as the construction agency, upon receipt of the approved certificate, the initiating agency will send a copy of the request for funds, copies of the approved certificate and the blue copy of form AC 340 to Assistant Chief - Bureau of Contracts, Office of General Services, Building Design and Constructions.