

## BUDGET REQUEST MANUAL

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### PURPOSE

These schedules are to be used to request funding for new Capital Projects. **Schedule CP-2** is to be used for all but transportation projects and should be submitted for each appropriation requested for the first year of the Capital Plan. **Schedule CP-2H** is to be used by agencies solely for requesting appropriations for new highway projects.

**NOTE: A Schedule CP-2 or CP-2H should be submitted for a capital maintenance appropriation for all agencies consistent with the mandated maintenance plan requirements.**

### GENERAL INSTRUCTIONS FOR PREPARATION OF SCHEDULES CP-2 AND CP-2H

Use the codes contained in Item 17 of this manual to complete the schedules. The appropriation number is a two-digit alpha-numeric number assigned by department or agency in sequential order (starting with 01) for each appropriation requested. If more than 99 appropriations are requested for a particular fiscal year, agencies should continue the numbering system by using alpha codes. (For example, AA, AB, AC, etc.)

Most of the information requested on these schedules is self explanatory. However, where warranted, specific instructions are provided:

### SPECIFIC INSTRUCTIONS FOR PREPARATION OF SCHEDULE CP-2

#### Section 1, Administration

State Environmental Quality Review (SEQR) Determination and Status: Article 8 of the Environmental Conservation Law, State Environmental Quality Review Act, requires agencies to consider environmental factors for applicable Capital Projects. The agency's determination and SEQR status should be indicated by checking the appropriate box and will apply to all projects to be funded from an appropriation.

Flood Hazard Evaluation: Article 36 of the Environmental Conservation Law requires agencies to consider and evaluate flood hazards for State and State-financed facilities. Agencies should indicate if any project to be funded from an appropriation is located in a flood hazard area by checking the appropriate box.

Remedy Environmental Violations: Indicate, by checking the appropriate box, whether the funds are requested to remedy an Environmental Conservation Law violation.

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### Section 5, Fund Source Code, and Section 9, Additional Funds Coding

If a capital project is to be funded from more than one fund, identify and specify the appropriate fund source code. For each fund requested, a two character appropriation number must be identified and listed in Section 9.

### Sections 6, Cost, and Section 7, Financial Data

Amounts in these columns should be rounded to the nearest thousand dollars.

## SPECIFIC INSTRUCTIONS FOR PREPARATION OF SCHEDULE CP-2H

### Column Headings

**Program:** Enter the major highway program or programs for which funds are requested. If the prior year's bill included a project schedule, then the agency should list the sub-programs for which funds are requested.

**Estimated Cost and Requested Appropriation:** For each program and/or sub-program listed, enter the amount requested. This is also the estimated cost.

**Estimated Disbursements:** Provide the estimated cost for each appropriation requested. When a requested appropriation has a project schedule, disbursement estimates may be shown at the appropriation level with the exception of Engineering Service which should be requested on a separate line with disbursement estimates.

## PROJECT DESCRIPTION/JUSTIFICATION

The following guidelines apply to the justification of requested new appropriations for Capital Projects. This information should be provided at the bottom of schedule CP-2. If additional space is required, attach separate sheet(s) and identify the item which such material supplements. All items for each appropriation or subproject justification must be completed.

Additional supporting documents can be submitted to explain or justify subprojects other than for environmental violations. As part of this justification, a statement must be made specifying how this appropriation or subproject enables the agency to meet its overall agency mission and program goals.

**For the remaining four years of the Capital Plan, this justification should be completed at the appropriation level.** The narrative should provide a general description of the appropriation, the specific need for which funds will be required, and how this projected need fits into the overall scope of the agency's Capital Plan. The following information should be covered:

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### 1. Purpose, necessity, scope and relationship of appropriation or subproject to agency's program objectives.

- a. Purpose and need of the appropriation or subproject.
- b. Cost/benefits expected to be derived from advancing the appropriation's stated objectives including any consequences if postponed to a future year.
- c. Alternatives that were considered and reasons for rejection.
- d. Estimate of the useful life of the facility upon completion of construction. For alteration and improvement appropriations or subprojects, provide the age of the facility and an estimate of the useful life of the facility if the work is not done.
- e. Special features not involved with the primary agency purpose of the appropriation or subproject should be mentioned here.

### Proposed scope of work

- a. Location of appropriation or subproject. Provide maps and sketches as necessary.
- b. Detailed description of work to be done.
- c. If the requested appropriation is to remedy an Environmental Conservation Law violation, provide for each functional category for which funds are requested specific information as to location, violation, estimated cost, priority criterion, environmental audit number (if assigned), fixed asset number (if known) and any approved remedial plan information for **each violation** within the functional category.

### Relationship of appropriation or subproject to agency's program goals

- a. Explain how this appropriation or subproject supports the agency's ultimate program goals.
- b. Explain the portion of the total program goals that will be accomplished when this appropriation or subproject is completed.
- c. Explain how the agency's program goals will be affected if this appropriation or subproject is not approved.

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- d. Explain if the proposed appropriation or subproject is to accommodate a different or improved agency program goal than that now provided by the agency.
- e. For new facilities or programs, identify and describe the statute which assigns the responsibility for this program.
- f. If the proposed appropriation or subproject is to accommodate a different or improved program goal other than that now provided by the agency and similar programs are provided by other agencies, describe and justify the need for this program.
- g. Provide forecasts of capacity and/or use in future years by building, institution or facility. All pertinent factors bearing upon the forecasts should be included and explained.
- h. State and explain the factors which determine the location of the appropriation or subproject (e.g., program, community, construction costs).
- i. State the size of the site and explain the necessity for such size. Show the basis for arriving at size. If site has already been acquired, explain.
- j. Indicate the amount of additional revenue, if any, to be received as a result of the appropriation or subproject.

### 2. Cost estimates and schedules

- a. Specify the source and method used to prepare cost estimates (approximate areas, unit prices, economic area adjustments, escalator factors, other).
- b. Indicate the costs by phases and provide the estimated start and completion dates.

The costs to be included in the estimate for each phase are as follows:

**Acquire Land:** All costs for surveys, appraisals, abstracts, relocation of tenants and owners, demolition and acquisition of property.

**Design:** All costs necessary to prepare plans, specifications and estimates.

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**Construction and Supervision:** Include all costs for building, site preparation and improvements, utilities, supervision of construction and eligible equipment. Exclude personal services and expenses requested in the State Operations budget.

**Equipment:** Include all costs for original furnishings and equipment.

- c. If equipment is requested, provide a breakdown of type and amounts.
- d. Explain the basis for the scheduled dates shown on Schedule CP-2.

### 3. Contingency factors

If the initiation of this appropriation or subproject is contingent on some other event, explain such contingencies (e.g., land acquisition, local agreements, Federal grants.)

### 4. Fire safety and other code compliance

If the facility does not meet current fire safety, exit requirements and/or other code requirements, indicate the specific name of the code and cite the actual sections being violated.

### 5. Related capital appropriation or subproject

- a. If other related appropriations or subprojects are anticipated at this facility in the next five years or are being programmed, designed or constructed now, list and indicate the status.
- b. Provide a description of other Capital Projects that will be required as a direct result of initiating or completing this appropriation or subproject.
- c. Explain if the appropriation or subproject will create scheduling, relocation or coordination problems.

### 6. Operating data

To be completed for each appropriation that has an impact on operating requirements. For appropriations falling into this category, provide the following information for both the first fiscal year and the subsequent fiscal year that operating costs will be incurred. Be sure that operating cost increases and decreases are accounted for in the State Operations budget request.

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**Personal Service:** Estimated increases or decreases for personal service costs. Estimated increase or decrease in number of employees required to staff completed project. Estimated number of additional permanent, temporary or seasonal staff required for operation of the facility including program and maintenance staff. If completion of a capital project will result in staff reductions, so indicate.

**Fringe Benefits:** Estimated increases or decreases for annual requirements for fringe benefits.

**Other than Personal Service:** Estimated increases or decreases for the cost of supplies, utilities, maintenance or equipment, etc.

### 7. Department/agency priority

Each line item appropriation and/or subproject requested should be assigned an agency priority ranking based on an evaluation of the merits of the appropriation or subproject in relation to overall agency mission and program goals. The basis for the priority assignment should be clearly stated as part of the request.

### 8. Appropriation, subproject or reference number

- a. Appropriation number must correspond to the two-digit number assigned on Schedule CP-2.
- b. The reference number must be entered for a future year appropriation that is part of the Five-Year Capital Plan.

Samples of Schedules CP-2 and CP-2H follow.

**New York State  
Division of the Budget  
Capital Projects Budget Request FY 20\_\_ - \_\_  
Appropriation Request – Non-Highway**

Agency:  
 Appropriation Number:  
 Agency Purpose:  
 Statewide Purpose:  
 Division/Institution:  
 Comprehensive Construction Program (CCP):

Fund Type:  
 Fund:  
 Account:  
 Agency Program:  
 Percent New:  
 Agency Priority:

<b>1. Administration</b> SEQR Determination and Status <input type="checkbox"/> Exempt or Type II <input type="checkbox"/> Negative Declaration <input type="checkbox"/> SEQR/NEPA EIS Required: <input type="checkbox"/> EIS Completed <input type="checkbox"/> EIS Underway  Flood Hazard Evaluation <input type="checkbox"/> Located in Flood Hazard Area <input type="checkbox"/> Not Located in Flood Hazard Area  Remedy Violations of Environmental Conservation Law <input type="checkbox"/> Yes <input type="checkbox"/> No					<b>2. Appropriation Description</b>      Lump Sum Request <input type="checkbox"/> Building Gross Area _____ Net Area _____  Program Capacity Added:  Estimated Occupancy Date:				
<b>3. Geographic Location (Name and Location Code)</b> Agency Region: County:					<b>4. Appropriation Schedule</b> Start Date (month/year): Completion Date (fiscal year):				
<b>5. Fund Source</b>		<b>6. Cost</b>	<b>7. Financial Data</b>		<b>8. Estimated Disbursements</b>				
					Fiscal Year (\$000s)				
State Funds	Fund Source Code	Estimated Costs (\$000s)	Appropriation to Date (\$000s)	Appropriation Requested (\$000s)	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	4 <sup>th</sup> Year	5 <sup>th</sup> Year
Bondable									
Non-Bondable									
Advances									
Federal Funds									
Other (identify)									
Grand Total									
<b>9. Additional Funds Coding:</b> Fund Source Code _____ Appropriation Number _____ Fund Source Code _____ Appropriation Number _____					<b>10. Plan Reference Numbers:</b>				

Project Description, Justification and/or Schedule for Lump Sum Appropriation:

