

Rules of
Office of Administration
Division 30—Design and Construction
Chapter 2—Capital Improvement and Maintenance
Budget

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Title 1—OFFICE OF ADMINISTRATION

Division 30—Design and Construction Chapter 2—Capital Improvement and Maintenance Budget

1 CSR 30-2.010 Capital Improvement and Maintenance Budget Rule Objectives

PURPOSE: This rule states the objectives of the rules of the Office of Administration pertaining to procedures for preparation and submission of the Capital Improvement and Maintenance Budget.

(1) The following objectives are covered in the rules under this chapter:

(A) To establish a uniform procedure for preparation and submission of the annual Capital Improvement and Maintenance Budget;

(B) To establish the requirements and provide guidance for planning facility programs; and

(C) To establish the definitions to identify items to be included in the construction category or the maintenance/repair category, as well as items within facility programs to be included in the Capital Improvement and Maintenance Budget or Operating Budget.

(2) This rule, to the extent practical, will be used to supplement Fiscal Year 1983 Budget Instructions. This rule becomes effective with the budget submission for Fiscal Year 1984.

AUTHORITY: sections 8.320, 8.360 and 33.220, RSMo 1986.* Original rule filed July 9, 1981, effective Feb. 15, 1982.

*Original authority: 8.320 and 8.360, RSMo 1958, amended 1965 and 33.220, RSMo 1939, amended 1945, 1971.

1 CSR 30-2.020 Definitions

PURPOSE: This rule defines terms as used in the rules under this chapter for the Capital Improvement and Maintenance Budget.

(1) Capital Improvement and Maintenance Budget. The Capital Improvement and Maintenance Budget for a department is the total of all construction and maintenance/repair requirements as submitted in the department's annual budget. This provides the documentation to support the department's request for funding of the proposed budget.

(2) Categories. There are two (2) categories (construction and maintenance/repair) estab-

lished for the Capital Improvement and Maintenance Program. The budget submissions will be prepared in these two (2) categories, separately defined in (2)(A) and (B) to permit consideration in separate appropriation bills.

(A) Construction. Construction is work which substantially improves, increases value or capacity or extends useful life beyond that in the Standards of Existing Construction.

(B) Maintenance/Repair. Maintenance/repair is work which is necessary to preserve or re-establish the condition of a facility or element at the Standard of Existing Construction. Maintenance/repair work does not substantially improve, increase value or capacity or extend the useful life of a facility or element, except as required to meet current codes and standards.

(3) Complex. A complex is a group of two (2) or more sites, closely located, which serve a single operation, operational entity or institution. A complex includes individual sites which are separated by major roads or other property under control of other agencies or owners.

(4) Facility. A facility is any improvement on real property which provides for performance of functional requirements by the occupants. A facility is a complete usable entity, requiring only the setting of personal property, connection to utilities and/or support facilities (parking, roads, walks, etc.) for its full operation. The term facility will normally refer to a building or structure, but may refer to any real property improvement.

(5) Facility Inspection and Condition Report. The Facility Inspection and Condition Report is required for compliance with sections 8.330 and 8.360, RSMo (1986). This annual report indicates the condition of a facility, its major components or systems and the requirements for maintenance/repair. The director, Division of Design and Construction has designated the LABS as the format for this annual report.

(6) Operating Budget. The operating budget is that portion of a department's annual budget which requests funding for personal property, operating expenses, personnel and other costs not included in the Capital Improvement and Maintenance Budget.

(7) Priorities. Priorities are assigned to budget items to demonstrate the order of importance or need.

(8) Real Property. Real property includes any interest of the state in land, buildings, structures, roads or other improvements.

(9) Site. A site is a single parcel of real property bounded on all sides by property under the control of others. A site will include all land, buildings, structures, utilities and other improvements within the boundaries of that site.

(10) Standard of Existing Construction. The Standard of Existing Construction for the purposes of the Capital Improvement and Maintenance Program, is the level of quality, capacity and appearance produced by the last construction work performed on the facility.

(11) This rule, to the extent practical, will be used to supplement Fiscal Year 1983 Budget Instructions. This rule becomes effective with the budget submission for Fiscal Year 1984.

AUTHORITY: sections 8.320, 8.360, and 33.220, RSMo 1986.* Original rule filed July 9, 1981, effective Feb. 15, 1982. Emergency amendment filed June 14, 1985, effective July 1, 1985, expired Oct. 29, 1985. Amended: Filed June 14, 1985, effective August 26, 1985.

*Original authority: 8.320 and 8.360, RSMo 1958, amended 1965 and 33.220, RSMo 1939, amended 1945, 1971.

1 CSR 30-2.030 Facility Program Planning

PURPOSE: This rule establishes requirements and provides guidance for planning facility programs for Capital Improvement and Maintenance.

(1) General. Each department/agency must examine the duties imposed by law and the programs or policies necessary to carry out those duties. This examination will enable the department/agency to establish goals that can be translated into objectives and functions assigned to specific sites, complexes or institutions. A careful study of these objectives and functions shall be made to identify facility requirements (types, sizes, arrangement, etc.) that are necessary for support of the assigned objectives and functions. The existing facilities at the site/complex shall then be compared with the identified facility requirement. That comparison will provide the information necessary to plan and establish effective utilization of existing facilities, along with identifying requirements for new facilities, or requirements for modifying or disposing of existing facilities.

(2) Master Plans. The master plan for an existing site/complex is the comprehensive plan for effective utilization and development of the site/complex and facilities as required to support assigned objectives and functions. The master plan shall include a drawing which shows the site/complex boundaries, location of all existing facilities, proposed changes, improvements or disposal of those facilities, proposed areas for site expansion or disposal and location for known new facility requirements. Each facility (existing or proposed) shall be identified along with the principal function it serves. The master plan also requires a written discussion of the existing facility utilization (identifying the principal function located in the facility) and facility deficiencies that prevent complete support for the assigned objectives and functions. The discussion shall identify work necessary to correct the identified facility deficiencies, including construction, acquisition of real property or facility and disposal of unneeded real property or facilities. Discussion of proposed construction or acquisition will address all changes in utilization or reassignment of functions between facilities. A master plan should be examined regularly and updated, when necessary, to reflect significant changes required to support assigned objectives and functions.

(A) Feasibility Studies. Feasibility studies may be made to determine the most effective solution for any substantial construction or maintenance/repair requirement. For each identified deficiency where acquisition or construction estimated to cost in excess of two million dollars (\$2,000,000) is proposed, a feasibility study shall be made to determine the most effective solution. The study will develop the data necessary to complete the eleven (11)-paragraph justification for budget submission indicated in 1 CSR 30-2.040(8)(C) and must examine forecast of needs, allocation of functions to various site/complexes and/or facilities and all practical alternatives. Funding, except for architect/engineer planning services shall not be requested for such acquisition or construction items until a feasibility study has been completed. Prior to establishing a contract for a feasibility study, the scope and requirements for a feasibility study will be coordinated with the Office of Administration. An economic analysis will be provided as part of the feasibility study.

1. An economic analysis is a brief resume of alternative methods of solving a problem. In this case, an economic analysis should determine the need to house a function, establish a feasible means of providing facility support, discuss the alternatives and

recommend the most cost effective solution. The analysis will include consideration of the life cycle cost to determine the present value of owning and operating the facility or system over its economic life. Where appropriate, the time value of money will be considered. The lending rate being provided on short-term state securities should be used as this value. This information will be provided by the state treasurer.

2. Particular attention must be given to defining alternative. Experience shows that frequently only two (2) alternatives are compared—the way things are being done now versus the way the department/agency would like to do them, but such a simple comparison is not acceptable. An economic analysis must include comparisons of all practical alternatives in order to provide a convincing justification for the selected alternative.

3. The extent of the analysis must be commensurate with the scope and cost of the proposed item.

4. The scope of the economic analysis considered here is intended to support the planning/justification phase of a proposed facility or system. Studies for selection of specific equipment or materials to be incorporated into the work will be made during project design. The economic justification for selection of a specific option must take into consideration not only the initial design and construction cost, but operation (maintenance/repair, energy, labor and supplies) costs throughout the projected life of the facility or system.

(B) Master Plan Submission. A master plan is required for each developed site with more than three (3) facilities, or with facilities having total floor space of more than fifty thousand (50,000) square feet and for undeveloped sites having an area of more than one hundred sixty (160) acres. Undeveloped sites being held or used for wilderness, farming or other purpose which requires no development are exempted from this requirement. For all sites, exempted from the requirement for a master plan, a site plan is required. The site plan shall show, as a minimum, boundaries (correlated to an easily identified reference), access, principal drives or trails, facilities, scale and north direction. Completed master plans and site plans for all sites shall be submitted to the director, Division of Design and Construction, within five (5) years after the effective date of this rule.

(3) Departmental Facility Program. The Departmental Facility Program is the complete listing, in priority, of all known departmental facility requirements for construction and for maintenance/repair. Once estab-

lished, the Departmental Facility Program as well as the master plans for the individual site/complexes should not change materially unless there is a change in the department's goals and objectives. Minor revisions may be required for an individual facility to support a change in function, without materially changing the Departmental Facility Program or the master plan for the site/complex.

(4) Facility Planning Cycle. The facility planning cycle extends over a period of seven (7) years. This includes the current year (execution year), the budget year (immediate program) and the next five (5) years. The long-range plan forecasts the facility requirements for this five (5)-year period. The immediate program is the proposed submission for the next budget year of the most urgent requirements indicated in the long-range plan.

(5) Long-Range Plan. The long-range plan, which covers the five (5)-year period beyond the immediate program, is the proposal for implementing the master plans for the individual site/complexes in accordance with the Departmental Facility Program. The long-range plan will include all known requirements for construction and for maintenance/repair. The long-range plan must be supported with a current copy of the Facility Inspection and Condition Report on all existing facilities for which work is proposed in that plan. These reports provide the documentation for verifying requirements, integrating them into a statewide long-range plan and reporting to the general assembly in accordance with the requirements of section 8.360, RSMo.

(A) Categories. Construction items will not be combined with maintenance/repair items.

(B) Priorities. The long-range plan will be prepared to show a priority order, within each of the five (5) years for the items included.

(6) The Commissioner of Administration or his designee shall establish the specific method of coordination for feasibility studies, long-range plans and master plans with each department/agency.

(7) This rule, to the extent practical, will be used to supplement Fiscal Year 1983 Budget Instructions. This rule becomes effective with the budget submission for Fiscal Year 1984.

AUTHORITY: sections 8.320, 8.330, 8.360 and 33.220, RSMo 1986. Original rule filed July 9, 1981, effective Feb. 15, 1982. Emergency amendment filed June 14, 1985, effective July 1, 1985, expired Oct. 29, 1985.*

Amended: Filed June 14, 1985, effective Aug. 26, 1985.

**Original authority: 8.320, 8.330 and 8.360, RSMo 1958, amended 1965 and 33.220, RSMo 1939, amended 1945, 1971.*

1 CSR 30-2.040 Budget Preparation

PURPOSE: *This rule establishes requirements, organization and content for the Capital Improvement and Maintenance Budget submission.*

(1) General. The Capital Improvement and Maintenance Budget submission of a department/agency for the next budget year is known as the immediate program. The immediate program represents the most urgent requirements for construction or maintenance/repair developed in the long range plan. Each budget item will be considered as a single priority. Specific definition and justifications are necessary for each budget item to demonstrate the urgency and the impact (favorable or adverse) on current programs and/or long range goals and objectives. The scope of work included in a budget item must be established in a logical manner. A budget item will include all work and equipment needed to satisfy a requirement (for example, all work and equipment necessary to replace a boiler and reconnect, with gauges, valves, etc.) Several options are available for smaller elements of work. All maintenance/repair work for a single facility may be combined into a single budget item, or maintenance/repair work of a similar nature, for several facilities may be combined into a single budget item. Similar combinations for construction work can also be established. Regardless of how the combinations are established, phasing of associated work will be avoided.

(2) Priorities. Priorities will be indicated for the department and for the site/complex on each budget item submitted in the immediate program.

(3) Categories. Each item in the immediate program will be submitted in one (1) of the two (2) budget categories. Construction work and maintenance/repair work will not be combined in a single budget item.

(4) Construction. The construction category as used in chapter 2 of these regulations includes acquisition of real property, additions, alterations (including modifications for handicapped access), conversions, demolition, energy conservation work, rehabilitation, restoration, renovation, relocation,

remodeling, site development and when appropriate, equipment purchase or replacement.

(A) Equipment.

1. Purchase of original installed facility equipment is construction. When capacity or capability is substantially increased, replacement of installed facility equipment is construction. Installed facility equipment includes those items of fixtures and equipment in the air conditioning, electrical, heating, plumbing or other building systems that are necessary for operation of the facility.

2. Procurement of installed function equipment may be submitted as a Capital Improvement and Maintenance Budget item only when that equipment is part of a construction project or when the installation requires construction, addition to or modification of utilities or environmental systems. Installed function equipment includes those items of fixed and/or heavy equipment (kitchen, laundry, printing, x-ray, welding, etc.) needed by the occupant(s) of a facility to perform required functions.

(B) Replacement. Replacement of an item, system or facility under the Capital Improvement and Maintenance Program for the purpose of improvement or increasing capability/capacity is defined as construction.

(5) Maintenance/Repair. Maintenance/repair work will conform to current codes or standards. Maintenance/repair, as used in chapter 2 of these regulations, includes the following:

(A) Maintenance. Maintenance is the routine day-to-day, periodic or scheduled work necessary to preserve a facility in such condition that it may be effectively used for its intended purpose. This includes work required to prevent deterioration or damage and to sustain existing components or utility systems;

(B) Repair. Repair is the work necessary to reestablish the condition of a damaged, deteriorated or worn facility or element at the Standard of Existing Construction, so that it may be effectively used for its designated purpose. Repair work does not include substantial alteration, conversion or increase of size/capacity, except as required to meet current codes and standards. Replacement of a damaged, deteriorated or worn item, system or facility for the purpose of reestablishing the original capacity/capability is defined as repair by replacement;

(C) Operations Budget Items. Maintenance/repair work, such as preventive maintenance (lubrication, filter changes, inspections, refastening, etc.) and minor repairs (replace broken window glass, clearing sewers, spot road repairs, etc.), performed by

agency/site maintenance personnel or performed by maintenance contracts shall not be included in the Capital Improvement and Maintenance Program. These are operating responsibilities and will be included in the operation budget; and

(D) Maintenance/Repair of Facilities Not Owned by the State. At a site/complex where a long-term lease, license, permit or other control has been established or where execution of lease, license, permit or other control instrument requires maintenance by the state, maintenance/repair items may be considered in the Capital Improvement and Maintenance Budget. Such items require economic justification to assure a reasonable return on investment.

(6) Unprogrammed Requirements. Unprogrammed requirements are defined as unforeseen and unplanned items resulting from existing or developing conditions which may not be delayed until the next appropriation.

(A) Submission. A separate budget item with a separate priority will be submitted under the maintenance/repair category for unprogrammed requirements. The amount of this item will be based on recent (3-5 years) experience. The basis for establishing the amount will be clearly stated. This item will include cost escalation as directed in the annual budget instructions.

(B) Unprogrammed Requirements Fund. Appropriations for unprogrammed requirements will be available for new requirements only and will not be used to supplement other capital improvement and maintenance appropriations. Such funds will not be used to support an item as defined in an appropriation request, that has been specifically denied or eliminated by the legislature.

(7) Planning/Design Budget Items. These budget items provided for architect/engineer services, for master plans, feasibility or other studies, long range plans and project design.

(A) Feasibility Studies. Funding requests for development of feasibility studies (as capital improvement and maintenance items) will be included in the construction category.

(B) Master Plans. Funding requests for the development of master plans will be included in the construction category of the Capital Improvement and Maintenance Budget. The request for each site/complex will be a separate budget item with a separate priority.

(C) Project Design. Normally, funding for project design will be requested as part of the budget item for the project. For projects estimated to cost in excess of one million, five hundred thousand dollars (\$1,500,000), design or planning funds may be requested

one (1) fiscal year prior to requesting funds for accomplishing the work. Justification data with request for early appropriation of design funding will include the justification for the project.

(8) Budget Request Justification. The detail of the justification must be commensurate with the scope and cost of the item or subitem. The justification will establish the need and the urgency of the request. Facts presented will clearly show that the item is essential to support current and future functions. Each justification element must be organized so as to be easily read and understood and the use of vague, indefinite or unnecessary technical terms will be avoided. Meaningful facts and figures must be provided, but statistics shall be limited to significant totals or trends. Repetition of statements or data in more than one (1) justification element is seldom productive.

(A) Maintenance/Repair Items. For most maintenance/repair items, the justification will be a brief summary. While this must be concise, the following (as a minimum) will be addressed:

1. Define the deficiency or deficiencies;
2. Explain the effect of delaying the item;
3. Indicate the alternatives considered;
4. When appropriate, indicate:
 - A. Requirements of federal regulations, funding or support programs;
 - B. Unusual circumstances;
 - C. Reasons for apparent inconsistencies between various entries of the budget submission;
 - D. Relationship to prior and/or future appropriation;
 - E. Requirements for improving quality or capacity; or
 - F. Environmental effects;
5. When substantial cost is to be incurred for repair, the economics of repairs versus replacement will be examined. Repair items, estimated to cost more than fifty percent (50%) of the cost for replacing that element or system will be supported with an analysis of cost and expected life for repairs versus replacement; and

6. When the estimated cost of repairs to an item, system or facility exceeds twenty-five percent (25%) of the replacement cost of the facility involved and exceeds five hundred thousand dollars (\$500,000) (a major maintenance/repair project) the complete eleven (11)-paragraph supplemental justification, indicated under 1 CSR 30-2.040(8)(C), will be provided in addition to the summary justification.

(B) Construction Items. The summary justification indicated under "Maintenance/Repair Item" will be provided for all construction items. For energy conservation projects, the estimated economic return will be added to the summary justification. For a new construction budget item estimated to cost more than one million dollars (\$1,000,000) and for construction work on an existing facility with estimated cost exceeding twenty-five percent (25%) of the replacement cost of the facility involved and exceeding one million dollars (\$1,000,000) (a major construction project), the complete eleven (11)-paragraph supplemental justification indicated under 1 CSR 30-2.040(8)(C) will be provided in addition to the summary justification.

(C) Supplemental Justification. The eleven (11)-paragraph justification when required in accordance with 1 CSR 30-2.040(8)(A)6. or (8)(B) will be provided in its entirety as indicated in the following. If a paragraph is not applicable, list the paragraph number and title with the notation "N.A."

1. (Paragraph 1) Analysis of Deficiency. Evaluate the facilities now being used. Describe the physical deficiencies and how they limit performance. Describe deficiencies identified (if any) as a result of the requirements of federal regulations and/or federally funded or supported programs and indicate the regulation(s) or supported program(s) involved. Describe the impact of delaying or eliminating this item. Be specific.

2. (Paragraph 2) Consideration of Alternative Facilities. Provide a list of the facilities that were considered in an effort to meet the requirement through existing assets. Indicate the extent of examination of these existing facilities, including those at another site/complex, which could be used to satisfy the requirements. Examination of existing facilities should include the cost for addition, alteration, rehabilitation or repair. When another site/complex or facility was considered and rejected, identify those considered and the reason for rejection.

3. (Paragraph 3) Relationship to Other Programs. If the item is directly related to other items in prior year budget programs, the current budget programs or future budget programs, show the relationship clearly. Explain the effect of delay or cancellation of this item or proposed future items.

4. (Paragraph 4) Economic Considerations/Savings. Cost savings in operational expense, economies in design and other cost savings will be identified when applicable. If reduction in operating expense is a primary element in the justification, an economic analysis will be provided.

5. (Paragraph 5) Energy Requirements. For maintenance/repair projects, state the present annual energy consumption for each type of energy (that is to say, electricity, natural gas, fuel oil, etc.) used at the site or facility affected and the estimated annual increase or decrease in energy consumption which will occur when the work is completed and explain any increases. Also describe any realistic alternative measures which can be taken to reduce consumption and the estimated cost of these measures. For construction projects, briefly describe the applicable types of heating and air conditioning systems, water supply and sewage disposal systems and the electrical distribution system and connected equipment. State the estimated annual energy consumption by type of energy for each system. Describe any realistic alternative types of systems or equipment for each system which could be used to reduce energy consumption and the estimated cost of each alternative.

6. (Paragraph 6) Utility Support Requirement/Changes. Provide information on related utility support. Projects which are programmed or under construction (for utility support of the proposed facility), if any, should be addressed. Compare available capacity of these projects and/or existing utility systems with requirements of the budget item being justified. If completion of the proposed budget item will require additional utility capacity, indicate planned work to provide the additional capacity. Indicate source of work of funding to support the work to provide the additional capacity.

7. (Paragraph 7) Criteria for Proposed Construction.

A. All major or new construction requires data to support the proposed scope. State how size and capacity of the proposed facility are related to the overall requirement for the function. Define the workload in terms of permanent personnel, clients served, functions performed or other appropriate factors.

B. For air and water pollution abatement projects provide the federal, state, regional or local standards upon which design is based.

C. For laboratory, research and other technical facilities, list the specific functions which the facility will support. The function must be clearly explained in terms understandable by laymen.

D. State whether or not the requirement is derived from a new or expanded function, if so, identify nature and scope of new function and its relation to the budget item.

E. State any security requirements that will affect the design of the facility.

F. Specific requirements established by federal regulations and/or federally funded or supported programs must be spelled out and identified with the federal regulation and/or federally funded or supported program involved.

8. (Paragraph 8) Disposal of Present Facility Assets. If a new facility has been justified as a replacement for an existing facility, indicate proposed methods of disposal for the replaced facility. If a new facility has been justified as a replacement for an existing facility and the replaced facility is to be retained, a statement must be provided as to the specific intended use of the replaced facility.

9. (Paragraph 9) Summary of Environmental Considerations. An environmental assessment will be prepared for those items which may have significant environmental impact. An environmental impact is any foreseeable or predictable change (beneficial or adverse) on the quality of the human or natural environment. An environmental assessment is an informal review of the work on a project to determine whether or not there is potential for a significant impact on the natural environment. The assessment determines potential only and requires no review or approval. By contrast, an environmental impact statement is a detailed study of specific effects on specific environmental elements. The environmental impact statement must be reviewed and approved by appropriate state and federal agencies. Work on an existing facility which extends more than five feet (5') outside the facility, or which involves significant emissions or discharges from the facility, will be considered for an environmental assessment. All budget items for new or major construction, sewer and water systems or treatment plants, stream diversion or impoundment or paving will be considered for environmental assessments.

A. If the environmental assessment determines that the work is likely to have a significant adverse impact on the quality of the human or natural environment, an environmental impact statement will be made and processed in accordance with current applicable state/federal regulations. Approval of the impact statement by the appropriate state/federal agencies will be required prior to requesting any appropriation (except planning) for work on that item.

B. If the environmental assessment determines that the work is not likely to have a significant adverse impact on the quality of the human or natural environment, that fact

will be indicated with one (1) of the following statements as appropriate:

(I) An environmental assessment for this work has determined that there will be no significant adverse impact on the quality of the human or natural environment; and

(II) An environmental assessment for this work has determined that there may be a minimal adverse environmental impact in the area(s) of cultural or historic sites, air, water, noise, solid waste, radiation or hazardous materials. Indicate only the applicable area(s) of impact and provide a brief explanation to include measures for reducing or eliminating the potential impact. If the impact is temporary, indicate that fact and the time period of the impact.

10. (Paragraph 10) Provisions for the Handicapped. Every facility should be designed to assure access for the physically handicapped, unless it can be positively stated that its function is such as to make it inappropriate or hazardous to provide such access. If provisions are not made for handicapped access, indicate the statute, regulation or other basis for this omission.

11. (Paragraph 11) Program for Related Furnishings and Equipment. The purpose of this paragraph is to direct attention to furnishings and equipment funded from some other appropriation and intended for installation in the proposed facility. Indicate the relationship between delivery schedules and the construction schedule and the effect of delay in equipment delivery or construction schedules.

(9) Exceptions. Exceptions to the requirements of this rule may be granted by the commissioner of administration or his designee upon presentation of satisfactory justification for such exceptions. The Coordinating Board for Higher Education is exempted from the requirements of 1 CSR 30-2.040(8)(C).

(10) This rule, to the extent practical, will be used to supplement Fiscal Year 1983 Budget Instructions. This rule becomes effective with the budget submission for Fiscal Year 1984.

*AUTHORITY: sections 8.320, 8.360 and 33.220, RSMo 1986. * Original rule filed July 9, 1981, effective Feb. 15, 1982. Emergency amendment filed June 14, 1985, effective July 1, 1985, expired Oct. 29, 1985. Amended: Filed June 14, 1985, effective Aug. 26, 1985.*

**Original authority: 8.320 and 8.360, RSMo 1958, amended 1965 and 33.220, RSMo 1939, amended 1945, 1971.*

1 CSR 30-2.050 Budget Form Completion and Submission

PURPOSE: This rule sets forth the form and format for completing the Capital Improvement and Maintenance Budget Forms.

(1) General. For brevity, the term "site" has been used in several blocks on the budget forms. This should be taken to mean site, complex, operational entity or institution as appropriate. Each of the forms must have each block filled with the appropriate entry. When a particular block is not applicable, enter the notation "N.A." There are three (3) budget forms. Form 11 is the summary of all budget items and the total budget request of the Capital Improvement and Maintenance Immediate Program for the budget year. Form 12 provides the detailed information and justification for individual budget items indicated on Form 11. Form 13 is the summary of all items proposed for the long range plan under Capital Improvement and Maintenance. Copies of the blank Forms 11, 12 and 13 follow this rule as Appendices A, B and C.

(2) Form 12—Immediate Program, Budget Request Item.

(A) General. This Form 12 is the basic document for each budget item. Each budget item, which may have several subitems, will be assigned a separate priority. The appropriate box at the top of the Form 12 will be checked and construction work will not be combined with maintenance/repair work on the Form 12. Data to be provided for individual blocks on the Form 12 are discussed as follows. Individual blocks (except 14 and 15) which do not apply will be marked N/A. An entry will be made in each block to assure that no data is inadvertently omitted.

(B) Block 1. Self-explanatory.

(C) Block 2. Self-explanatory.

(D) Block 3. Entry shall be the LABS number and name and the location for the site or complex. If more than one (1) site is included indicate "various" in block 3 and include site/complex LABS number and name for each item in Block 7.

(E) Block 4. Enter the LABS number and name for the facility. If the budget item involves more than one (1) facility, enter "various" in Block 4 and indicate the LABS number and name of each facility in Block 7 for the corresponding subitems. Such combinations must be coordinated with the Office of Administration prior to submission.

(F) Block 5. Indicate an individual who is knowledgeable about the item and likely to be available for consultation.

(G) Block 6. Both the departmental and site priorities must be indicated. Entries will correspond with entries for this budget item in Block 5 of Form 11.

(H) Block 7. The description of work must be clear and concise and accurately describe the complete work that is needed. When several site/complexes are involved with the item and “various” is indicated in Block 3, indicate the LABS number and name of the site/complex for each subitem. If the budget item involves more than one (1) facility and “various” is entered in Block 4, indicate the facility LABS number and name for the corresponding subitems. The description will be a short summary of the work with subitems as appropriate. The subitems should indicate numbers, sizes, materials and other description as appropriate. Unusual requirements such as temporary work, special protection, restrictions of time or other elements should be indicated. Any previous work or commitments of funding from all sources including state appropriations must be indicated. The total scope must be included regardless of the source of work, equipment or funding. The summary and subitems may be the only information available to those who review the budget request. Therefore, the data provided should be accurate and complete enough to permit a rapid review along with verification of estimated cost.

(I) Block 8. Estimated cost should include contingency and price escalation as directed in the annual budget instructions. Total estimated cost for the item should be indicated in line with the first line of the description. Cost estimates for subitems, where appropriate, should be indicated in parentheses in line with the subitem.

(J) Block 9. This entry will be a summary justification. The data to be included is detailed in 1 CSR 30-2.040(8).

(K) Block 10. Budget Categories. All headings, other than construction or maintenance/repair, in this block are sub-categories under the two (2) budget categories. The items to be included in the budget categories and sub-categories are indicated as follows. Entries in Blocks 11, 12 and 13 will correspond to the descriptions indicated for Block 10.

1. Construction. This category includes all items of work defined as construction. This category will also include all costs for purchase and/or installation of installed facility equipment and for special construction, utilities or environmental control required to support installed function equipment. Installed facility equipment will be shown as subitems under description and cost. Special construction, utilities and environmental con-

trol equipment for installed function equipment will also be shown as subitems under description and cost. For projects involving new acquisition, all work required prior to occupancy to provide a complete usable facility will be defined as construction within a single project and priority under the construction category.

A. Acquisition. This sub-category includes all estimated costs to be incurred for real property in the transfer to or purchase by the state of Missouri. This shall include costs for all land, existing improvements, legal fees, title insurance, closing and other related costs. Acquisition does not include leasing.

B. Installed Function Equipment. This sub-category includes the costs for purchase, delivery and setting of fixed or heavy equipment required by the facility occupant(s) (for example, kitchen, laundry, printing, x-ray, welding equipment) in performing their required functions. Costs for special construction, utility connections or environmental control equipment required to support this installed function equipment will be included under the construction category.

C. Furnishings and Portable Equipment. This sub-category includes those movable items which are classified as personal property. This sub-category will be included only when the budget item justification indicates that these items of personal property will have a significant impact on project completion. When personal property does not have significant impact on project completion, or when the cost of personal property is twenty percent (20%) or more of the total project cost, all items of personal property will be included in the operating budget and the estimated cost will be indicated under Equipment Purchase in Block 18.

2. Maintenance/Repair. This category includes cost for work necessary to preserve or re-establish the usefulness of a facility for its current intended use. This category will not be used for work designed solely to upgrade facilities to meet current codes or standards. When a requirement includes upgrading to meet codes and standards, the test to determine whether that item should be construction or maintenance/repair lies in the determination of the need to preserve or re-establish usefulness.

3. Telecommunications. This sub-category includes costs for purchase and installation of equipment and associated wiring as approved by Division of EDP Coordination for construction work to be included in the Capital Improvement and Maintenance Budget.

4. Professional and Administrative Costs. This sub-category includes all admin-

istration costs plus the costs for outside architect/engineer services and other technical services required for planning (to include design), providing construction management, establishing performance requirements, supervising installation of specialized equipment, supervising orientations or initial operations procedures or other similar requirements for accomplishing the work on the budget items. Administration costs include direct payments for advertising, printing, legal notices and other expenses of the department/agency and the Division of Design and Construction relating to planning (including impact statements), public hearings, bidding and contracting for the program or project. Professional and Administrative Costs will be indicated as a sub-category under Construction or Maintenance/Repair as appropriate.

(L) Block 11. Entries should indicate any prior appropriations directly applicable to this item, for this facility. Items such as acquisition costs, planning, previous segments of repair, replacement, renovation, etc. related to preparation for this item, for this facility shall be included. The total of this entry must correspond to the entry in Block 6 of Form 11.

(M) Block 12. Entries will be made in each applicable category or sub-category for the amount requested in the FY of the budget being prepared.

(N) Block 13. This is particularly significant for items involving acquisition. All foreseeable future planning, development and maintenance/repair expenditures must be indicated for new acquisitions. If the entry in Block 12 is for preliminary planning or preliminary work, the estimated total cost of the completed item must be shown in this block. The total for this entry must correspond to the entry in Block 10 of Form 11.

(O) Block 14. Department/Agencies will leave this blank.

(P) Block 15. Department/Agencies will leave this blank.

(Q) Block 16. Recent (normally, previous five (5) years) expenditures for items of construction work on the facility will be included in this block. Expenditures for maintenance/repair work (during the previous three to five (3—5) years) on the facility, if related to the budget item, will be included in this block.

(R) Block 17. Leave blank, except for the following items which will be entered under “Other”. Such entries shall identify the source.

Higher Education—The amount of private funds available.

National Guard—Federal Portion
Employment Security Federal Portion
Others—Items for which a specific fund(s) source is requested, that is, state park earnings, land and water fund, historic revolving fund, conservation fund, highway fund, etc.

(S) Block 18. Enter the estimated increase or decrease in the operating budget for the first full year following completion of the item. Operations costs have a significant impact on decisions concerning these budget items. The estimated cost of furnishings and equipment related to the budget item to be procured from funding under the operating budget will be shown as equipment purchase in this block. The total for this entry must correspond to the amount in Block 9 of Form 11.

(T) Supplemental Justification. The supplemental justification for a major maintenance/repair or major construction or new construction item will be provided on separate eight and one-half inches by fourteen inches (8 1/2" x 14") sheets attached to Form 12 for the item. The supplemental justification, as indicated in 1 CSR 30-2.040(8)(C), will be identified with a heading which includes the information from Blocks 1 through 4 and 7 of Form 12. The feasibility study when required by 1 CSR 30-2.030 will be similarly identified and attached to Form 12.

(3) Form 11 Immediate Program, Budget Request Summary. Form 11 will be the summary of construction and maintenance/repair items. The budget items will be listed in priority order. Data to be provided for individual blocks on Form 11 is discussed as follows. Individual blocks which do not apply to a particular item will be marked N/A. An entry will be made in each block, except Block 8, to assure that no data has been inadvertently omitted.

(A) Block 1. Self-explanatory.

(B) Block 2. Self-explanatory.

(C) Block 3. Indicate an individual who is knowledgeable and likely to be available for consultation.

(D) Block 4. Enter the LABS number and name for the site/complex and the facility involved in the item. The scope may be a title which generally describes the proposed work. Where work for more than one (1) facility or more than one (1) site or complex is involved, indicate the LABS number and name for each site/complex and facility included for each item. Such combinations must be coordinated with the Office of Administration prior to submission.

(E) Block 5. Each budget item will be assigned separate priorities. Priorities for

both department and site must be indicated for each budget item. Entries will correspond to entries in Block 6 of Form 12.

(F) Block 6. Enter the total of all amounts previously appropriated for acquisition, planning or other work related to the budget item for that particular facility or site. Total costs for a project are significant considerations in examining individual budget items. The entry in this block must correspond to the total in Block 11 of Form 12.

(G) Block 7. Enter total amount requested in this Capital Improvement and Maintenance Budget for this item.

(H) Block 8. Leave blank.

(I) Block 9. The amount entered will be the increase or decrease in the operating budget as a result of the work on this item. The amount indicated will be for the first full year following completion of the work on this item. The amount of this entry must correspond with the total amount in Block 18 of Form 12.

(J) Block 10. Enter the fiscal year and amount of anticipated future requests that will be necessary to complete the item. This is particularly applicable where the item in the current request is for acquisition and/or planning. If specific amounts are not yet determined for a specific fiscal year or years, enter N/A under fiscal year and enter estimated total future costs based on current pricing.

(4) Form 13. Form 13 outlines the long range plan for proposed construction or maintenance/repair items to be included in budget requests for the five (5)-year period following the immediate program. The Form 13 must identify all known requirements. While unforeseen requirements may require adjustments, the known requirements must be listed by priority within each fiscal year. Form 13 serves as a planning and programming document for subsequent budget consideration by the department/agency and by the administration. Data to be provided in individual blocks is discussed as follows. Individual blocks that do not apply to a particular item will be marked N/A on the line for that item. An entry will be made in each block for each item to assure that no data is inadvertently omitted.

(A) Block 1. Self-explanatory.

(B) Block 2. Self-explanatory.

(C) Block 3. Enter the LABS number and name for the site and the location. If several site/complexes are included, indicate "various" in Block 3 and include the LABS number and name for the site/complex for each item in Block 6.

(D) Block 4. Indicate an individual who is knowledgeable and likely to be available for consultation.

(E) Block 5. The fiscal year in which the budget item will be submitted must be indicated. The budget items must be listed by priority within each fiscal year. This is an essential element in planning and establishing statewide programs as well as priorities and funding requirements for the Capital Improvement and Maintenance Program. The entry must reflect a realistic estimate based on the best available information.

(F) Block 6. Indicate the LABS number and name and, when appropriate, the function of the specific facility. When several site/complexes are included on Form 13, indicate the LABS number and name for the site for each item in this block.

(G) Block 7. This entry will be a title which generally describes the work. Additional discussion of scope, if any, must be brief and general. Specific justification will not be indicated unless there is a significant time element involved or an essential relationship to prior or future budget items. Entries will be in priority order within each fiscal year.

(H) Block 8. This entry will consider complete costs including professional/technical services with cost escalation as directed in the annual budget instructions. This item must correspond to entries in Block 10 of Form 11 and Block 13 of Form 12 for related items in the immediate program.

(I) Block 9. This entry will reflect estimated increase or decrease in operations costs for the first full year following completion. This will include costs for furnishings and portable equipment. While these costs may be difficult to project, the entries for FY and amount must be based on the best available information.

(J) Master Plans. When there is a substantive revision in the site/complex master plan, a copy of the revised master plan drawing will be attached to Form 13. The copy of the master plan will be reduced to minimum readable size eight and one-half inches by fourteen inches (8 1/2" x 14") if possible.

(5) Budget Submissions. Budget submissions will be called for annually on or before October 1. The Capital Improvement and Maintenance Budget is one portion of the total annual budget submission.

(A) The total annual budget submission, including the Capital Improvement and Maintenance Budget, will be submitted to the director of the budget by the departments/agencies in the number of copies indicated in the annual budget preparation

instructions. Requirements for additional information to support or clarify items in the Capital Improvement and Maintenance Budget may be issued with these annual instructions. Such requirements will be supplemental to the requirements of this rule.

(B) The Capital Improvement and Maintenance Budget will be submitted annually in the number of copies called for to the director, Division of Design and Construction, in accordance with the schedule established in the annual budget instructions. Sample completed Forms 11, 12 and 13 may be included in the annual budget instructions for the purpose of amplifying, clarifying or supplementing specific information called for herein.

(6) This rule, to the extent practical, will be used to supplement Fiscal Year 1983 Budget Instructions. This rule becomes effective with the budget submissions for Fiscal Year 1984.

AUTHORITY: sections 8.320, 8.360 and 33.220, RSMo 1986. Original rule filed July 9, 1981, effective Feb. 15, 1982. Emergency amendment filed June 14, 1985, effective July 1, 1985, expired Oct. 29, 1985. Amended: Filed June 14, 1985, effective Aug. 26, 1985.*

**Original authority: 8.320 and 8.360, RSMo 1958, amended 1965 and 33.220, RSMo 1939, amended 1945, 1971.*



CAPITAL IMPROVEMENT AND MAINTENANCE
IMMEDIATE PROGRAM
BUDGET REQUEST SUMMARY

Page _____ of _____

FORM 11

1. Department	2. Division/Agency		3. Coordinating Officer Name: Telephone No.:		8. GOVERNOR RECOMMENDS	9. FIRST YEAR OPERATING IMPACT	10. RELATED FUTURE REQUEST	
							7. CURRENT YEAR REQUEST	FY
4. DESCRIPTION (SITE, FACILITY AND SCOPE) (Use LABS No. and Name for Site and Facility)	5. PRIORITY NO.	6. RELATED PRIOR APPROPRIATION(S)						
	DEPT.	SITE						
TOTAL								

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STATE OF MISSOURI
OFFICE OF ADMINISTRATION
CAPITAL IMPROVEMENT AND MAINTENANCE
IMMEDIATE PROGRAM BUDGET REQUEST ITEM - FORM 12



1. DEPARTMENT _____		2. DIVISION/AGENCY _____		3. SITE (LABS NUMBER AND NAME) _____		4. FACILITY (LABS NUMBER AND NAME) _____		5. COORDINATING OFFICER NAME: _____ PHONE NUMBER: _____		6. PRIORITY DEPARTMENT: _____ SITE: _____		REGION _____		PAGE _____ OF _____	
7. DESCRIPTION OF WORK (SCOPE) _____												8. ESTIMATED COST _____		9. JUSTIFICATION _____	
10. BUDGET CATEGORY	11. RELATED PRIOR APPROPRIATION(S)	12. FACILITY COSTS FY _____ REQUESTS	13. RELATED FUTURE REQUESTS	14. GOVERNOR RECOMMENDS	15. APPROPRIATION	16. YEAR	18. OPERATIONS BUDGET IMPACT					COST			
A. Construction							REQUEST BY FUND SOURCE					FY _____ EXPENDITURE PLAN			
B. Land Acquisition							GENERAL REVENUE					ITEM			
Installed							* OTHER					PERSONAL SERVICE			
C. Function Equip.							* OTHER					EQUIPMENT PURCHASE			
D. Telecommunications							* OTHER					OPERATIONS			
E. Furnishings and Portable Equipment							TOTAL					TOTAL			
F. Maintenance/Repair							* IDENTIFY FUND SOURCE								
G. (a) Professional Cost (b) Administrative Cost															
H. TOTAL															

MO-300-1033 (5-87)

Page _____ of _____

**CAPITAL IMPROVEMENT AND MAINTENANCE
LONG RANGE (5 YEAR) PLAN
PROGRAM SUMMARY**

FORM 13

1. Department
2. Division/Agency
3. Site (LABS No. and Name)
4. Coordinating Officer Name: Telephone No:

5. FY	6. FACILITY (LABS No. and Name)	7. DESCRIPTION OF WORK (SCOPE)	8. ESTIMATED COST	9. OPERATIONS BUDGET IMPACT	
				FY	FIRST FULL YEAR AMOUNT

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