



BULLOCH COUNTY
BULLOCH COUNTY CAPITAL PROJECTS MANAGEMENT POLICIES

SECTION 1 - PURPOSE AND INTENT

1.0 General

The County is committed to a centrally managed comprehensive capital planning process to provide a clear policy framework to guide future decision-making. This policy recognizes that management of capital projects, like the allocation, management and utilization of facilities and space and other resources for Bulloch County, is a shared responsibility between the central administration and the individual operating units.

1.1 Purpose and Scope

The purpose of this document is to outline the principles, premises, and processes that will be used to ensure that capital expenditures foster the County's mission, and manage County capital project investments wisely. This policy is concerned with the process of planning and management of capital projects. The scope of this policy covers major capital outlays or projects that involve equipment, facilities, road construction and/or land improvements valued at over \$5,000.00 by the Board of Commissioners, with discretionary exceptions as noted in Section 4.0 of the County's financial policies.

SECTION 2 - ROLES AND RESPONSIBILITIES

2.0 General

Because of the responsibility and accountability incumbent upon the county for managing large capital projects and the wise use of financial resources, the roles of the various levels of county management must be clearly defined.

2.1 County Manager

Although the Board of Commissioners has the responsibility for decisions to commit the County to capital projects, the County Manager is responsible for their implementation. The County Manager may designate and delegate responsibilities to a Capital Projects Manager for day-to-day responsibilities for the oversight, coordination, review, prioritization and reporting processes for each capital project.

2.2 Capital Projects Manager

The Capital Projects Manager shall possess the primary duties and responsibilities to manage and oversee all major capital improvements, as follows:

- a) Ongoing management of central capital planning including: integration, coordination, communication, and implementation of the capital improvements plan.
- b) Coordinate and communicate with interdepartmental teams, outside agencies, consultants, contractors and inspectors, to ensure successful project management.
- c) Coordinate the process of proper review approval for construction contracts and revisions, change orders, scheduling changes and project closeouts.

- d) Maintain the annual and long-term capital projects schedules with projected cost estimates, budgets and available sources of funding.
- e) Keep Department Project Managers abreast of any information on changes in the capital improvements program or budget.
- f) Provide recommendations in concert with Department Project Managers for prioritizing capital commitments for the County Manager and the Board of Commissioners.
- g) Work with Department Project Managers to ensure that capital projects stay within budget or have approved revisions to the budget at strategic points in the project.
- h) Answer questions concerning the County's policy and process related to capital project planning and management.
- i) Report to the County Manager the status of projects and successful attainment of the goals of the capital improvements plan.

2.3 Outside Architectural & Engineering Services

Typically, outside architectural and engineering services will be solicited for the design and construction of certain capital projects for Bulloch County. In those instances where construction, renovation, or facility alteration projects involving County owned facilities are managed through outside architectural and engineering services, responsibility for internal coordination shall be delegated to the Capital Projects Manager, in conjunction with the assigned Department Project Manager.

The Facilities Management Department will oversee only minor non-structural improvements including repairs and maintenance unless recommended to do otherwise by the Capital Projects Manager. No individual staff member or unit shall undertake projects other than non-structural improvements themselves without prior approval from the Capital Projects Manager.

2.4 Department Project Manager

The Department Head or the person designated by a Department Head to be responsible for the direct implementation of the project in coordination with the Capital Projects Manager.

2.5 Purchasing Director

The person designated by the County Manager or Capital Projects Manager to be responsible for the procurement of goods, materials or services for a capital project according to county purchasing policies and State Law governing public works projects.

2.6 Chief Financial Officer

The person designated by the County Manager to manage the financial accounting for the project.

2.7 County Staff Attorney

The person designated by the County Manager to reviews contracts, agreements and debt financing issues for capital projects.

SECTION 3 - PRE-AUTHORIZATION REVIEW

3.0 General

No capital project shall begin without being pre-authorized within the General Appropriations Budget and the Capital Improvements Program.

3.1 Initiation and Scoping Meeting

To be initiated, each project should have a prepared or revised CIP Project Checklist Package (Form C-1). Prior to submission of the Project Authorization Form (Form C-2), a scoping meeting should be held with the Department Project Manager, the Capital Projects Manager, and if necessary, the Purchasing Director and the County Manager to confirm and expedite project budgeting, planning and implementation stages using the CIP Project Checklist Package.

3.2 Funding

For construction projects, design may be initiated with 25% of funds available and construction may proceed with 85% of funds available. For equipment funding 100% of funds must be available unless outside funding is to be applied toward a project. Projects involving outside funding or debt financing should have these commitments substantially in place prior to authorization.

SECTION 4 - PROJECT AUTHORIZATION

4.0 Form Submission

A CIP Project Authorization Form (Form C-2) should be submitted to the Capital Projects Manager any time a capital project or purchase is originated. The information on the form should be filled out thoroughly by the submitting department to receive approval.

4.1 Routing Approval

The requesting department should fill out the form and secure the proper approvals (as applicable). The following routing should be applied for every project with approval indicated by checking the "Yes" box, followed by the initialing and dating of the approval of the appropriate people as follows.

- a) Outside Architect or Engineer (where applicable)
- b) Department Project Manager
- c) Purchasing Officer
- d) Capital Projects Manager
- e) County Staff Attorney (where a project requires debt financing)
- f) County Manager (where a project is for equipment approved in the General Appropriations Budget)

If denied or deferred, the form should be sent back with reasons attached why the project was not approved. After changes to address denial/deferral, the form should then

be submitted for re-consideration. Once the project is authorized, it may commence immediately unless approval is required by the Board of Commissioners.

SECTION 5 - CHANGE ORDERS

5.0 Form Submission

A CIP Change Order Form (Form C-3) should be submitted to the Capital Projects Officer any time a capital project or purchase is subject to a change order. The information on the form should be filled out thoroughly by the submitting department to receive approval.

5.1 Routing Approval

The following routing should be applied for every project with approval indicated by checking the "Yes" box, followed by the initialing and dating of the approval of the appropriate people as follows.

- a) Outside Architect or Engineer (as applicable)
- b) Department Project Manager
- c) Purchasing Officer
- d) Capital Projects Manager
- f) Chairman of the Board of Commissioners (as applicable)

The requesting department should fill out the form and forward it to the Capital Projects Office to initiate approval. **Change orders shall be approved according to Section 1.3 of the county purchasing policies.**

The requesting department should fill out the form and forward it to the Capital Projects Office to initiate approval. The form should include a revised budget and justification.

If denied or deferred, the form should be sent back with reasons attached why the change order was not approved. After changes to address denial/deferral, the form should then be resubmitted. Once the change order is authorized, it may commence immediately.

SECTION 6 - PAYMENT AUTHORIZATION / CLOSEOUT

6.0 Form Submission

A CIP Payment Authorization/Closeout Form (Form C-4) should be submitted to the Capital Projects Manager any time a capital project or purchase is subject to a change order

6.1 Routing Approval

The requesting department should fill out the form and forward it to the Capital Projects Office to initiate approval. For payments, the form should include appropriate invoices submitted by the Department's Project Manager. For a closeout, the Project Manager

should request a closeout by attaching a memo declaring the project requires no further funding.

The following routing should be applied for every project with approval indicated by checking the "Yes" box, followed by the initialing and dating of the approval of the appropriate people as follows.

- a) Architect or Engineer (where applicable)
- b) Department Project Manager
- c) Chief Financial Officer
- d) Capital Projects Manager
- f) County Manager

If denied or deferred, the Form should be sent back with reasons attached why the payment was not approved. After changes to address denial/deferral, the form should then be resubmitted. Once the payment is authorized, it should be forwarded to Financial Administration immediately for processing.

6.2 Project Closeout and Resolution

Upon final recommendation from the Capital Projects Manager, a resolution will be submitted to the Board of Commissioners by the County Manager to close out any project within the General Appropriations Budget Schedule or Capital Improvements Program which has been completed.

SECTION 7 - PROJECT AND BUDGET MANAGEMENT

7.0 General

This section describes the project and budget management expectations as they relate to the overall planning and management of capital projects.

7.1 Fiscal Responsibility

The Capital Projects Manager, with input from the Department Project Manager are responsible for the management of capital project budgets, and for the review of invoices received prior to submission to the Office of Financial Administration for payment. County financial policies shall be observed in the management of capital projects.

7.2 Project Budget

The Project Checklist Package (Form C-1) will be used to develop a budget during the scoping period for each project.

7.3 Project Review Stages (Construction Only)

The project budget will be reviewed and revised as projects proceed through each of the stages of development. The Capital Projects Manager will be kept informed of the status of each project's budget at stages significant to the particular project. The pertinent stages will be discussed by the Capital Projects Manager and the architectural and

engineering services when the project becomes part of the Capital Plan. A project budget is typically revised at the primary stages of design and when bids are received. Depending on the size, scope, and complexity of the capital project, some of the review points may not be necessary. The typical project review stages are:

- a) Programming: Program parameters should first be examined in terms of feasibility. A preliminary programming schedule, cash flow needs and cost estimates should be developed for each stage of the project. A formal feasibility or pre-design study will be prepared if determined necessary by County Manager upon consultation with the Capital Projects Manager and Department Project Manager. Outside professional, architectural and engineering services may be considered for conducting such a study or assessment.
- b) Schematic Design: A block schematic or sketch plan should be developed at this stage. Schedules and cost data should be updated. A furniture, fixtures and equipment list should be developed.
- c) Design Development: Working drawings and specifications should be developed in this stage that includes a space comparison, pre-tender cost estimate and scheduling update. The design should be sufficiently complete to be submitted for required regulatory processes.
- d) Construction Drawings and Bidding: Upon final approval of construction plans, an approval to tender with a final cost estimate should be in place before bidding. The budget may be revised in light of bids.
- e) Implementation: The project must be monitored to meet program, design and cost standards. A post occupancy evaluation should be conducted prior to closeout of the project.

7.4 Budget Cost Overrun Procedures

Thorough up-front definition of a realistic project scope and budget is the first step in budget discipline. As each project progresses through planning and construction, costs may be higher or lower than budgeted.

7.5 Re-allocation of Line Item Costs

Consistent with Section 2.0 of the County Financial Policies, the County Manager, with the positive recommendation of the Capital Projects Manager and Department Project Manager will have control over transferring funds from one budget line item to another as deemed necessary. However, the "bottom" line of the project is expected to remain within budget at each stage of the project. If an overall budget overrun is projected a formal revision of the budget must be approved by the Board of Commissioners. Examples of appropriate cost re-allocation include:

- a) Shifting surpluses in other budget line items to cover the cost overrun;
- b) Reductions in program scope that do not compromise the objectives of the capital project;
- c) Reductions in scope of other budget lines which do not affect the basic program (e.g., equipment);
- d) Scaling back on later phases of construction if the project has multiple construction phases.
- e) Using project contingency funds to cover the cost overrun so long as the future fiscal viability of the project is not put at risk.

7.6 Re-allocating Planning and Design Stage Costs

Unless the event that causes the cost overrun is so significant and requires County approval due to future legal issues, etc., the Capital Projects Manager and Department Project Manager should manage design stage costs like all others. Overruns such as greater than anticipated costs for feasibility studies, engineering, etc. should be managed within the overall budget projection.

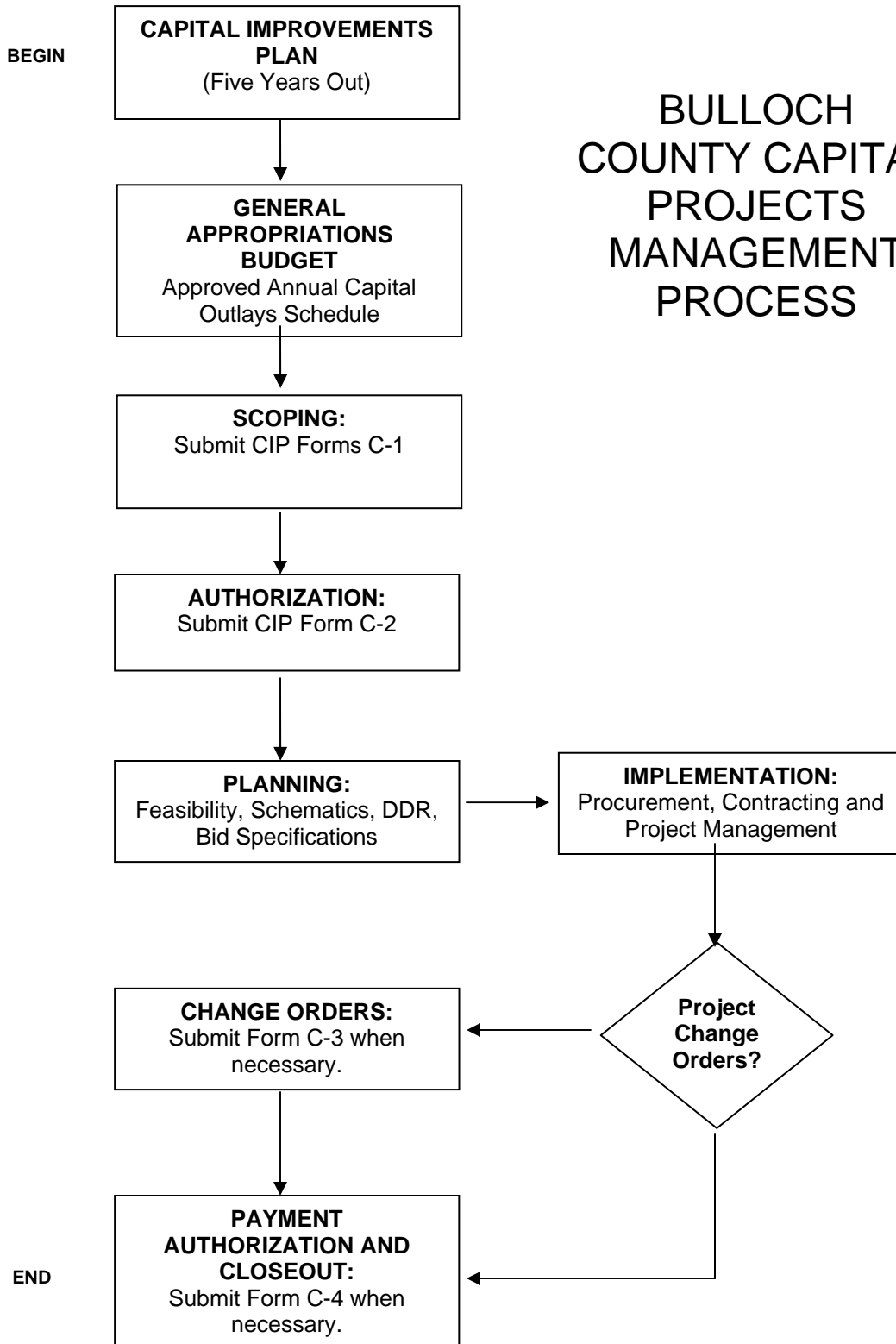
7.7 Identifying Other Sources of Funding

If the cost overrun cannot be managed within the overall project budget, the County Manager should be notified to seek guidance and decisions whether to look for possible additional sources of funds such as:

- a) Requesting that the principal department benefiting from the project cover the cost overrun; and/or
- b) Requesting outside funding to cover the cost overrun; and/or
- c) Requesting a subsidy or transfer from the General Fund reserves or other appropriate funds.

If additional funds are identified, the County Manager will seek the Board of Commissioners approval if the cap previously approved by the Board is to be exceeded.

BULLOCH COUNTY CAPITAL PROJECTS MANAGEMENT PROCESS



**CIP PROJECT CHECKLIST PACKAGE: FORM C-1, PAGE 1
BULLOCH COUNTY BOARD OF COMMISSIONERS**

GUIDELINES FOR THE PROJECT CHECKLIST:

This checklist is provided as part of the evaluation process for the Project Plan. The checklist assists designated reviewers in determining whether specifications meet criteria established in Bulloch County's Capital Project Management Policies.

Attached to this document is the DOCUMENT REVIEW CHECKLIST. Its purpose is to assure that documents achieve the highest standards relative to format, consistency, completeness, quality, and presentation.

Submissions must include the following three documents, and must be presented in the following order: (First) Document Review Checklist, (Second) the Project Plan Checklist, and (Third) the Project Plan.

Document authors are required to complete the columns indicated as "AUTHOR COMMENTS" before the submission. Do NOT complete the last two columns marked as "COMPLY" and "REVIEWER COMMENTS" since these are for the designated reviewers.

Document reviewers will consult the Bulloch County's Capital Project Management Policies when reviewing the documents and completing the reviewer's portions of this checklist.

AUTHOR REFERENCE (Project Identifier):

The Project Plan describes all project activities, schedules, resources, acquisition strategy, and support planning efforts.

<i>Designated Reviewers:</i>	<i>Start Date:</i>	<i>Completed Date:</i>	<i>Area Reviewed:</i>	<i>Comments:</i>
1:				
2:				
3:				
4:				
<i>Summary Reviewer:</i>				

**CIP PROJECT CHECKLIST PACKAGE: FORM C-1, PAGE 2
BULLOCH COUNTY BOARD OF COMMISSIONERS**

		To be completed by Author		To be completed by Reviewer	
REQUIREMENT		AUTHOR COMMENTS		COMPLY	
				Y	N
1.0 GENERAL INFORMATION					
1.1	Purpose, Scope, and Objectives: Describe the purpose, scope, and objectives of the project using the Initiate phase documents.				
1.2	System Overview: Provide a brief system overview description as a point of reference for the remainder of the document, including responsible organization, system name or title, system code, budget information, system category, and system environment or special conditions.				
1.3	Contacts: Identify the person or title and location of key personnel involved with this project.				
1.4	Project References: Identify any existing regulations, standards, documents, etc., that are pertinent to the project.				
1.5	Relationship to Other Projects: State the relationship to or impact on any related projects or ongoing activity, and how the project will be integrated with these projects.				
1.6	Organizational Interfaces: Describe the relationships with other organizations and groups throughout the project lifecycle.				
2.0 PLANNED ACTIVITIES, EVENTS, AND DELIVERABLES					
	Provide a project schedule. Identify the deliverable products, the required delivery media, the quantities required, and the required delivery dates.				

**CIP PROJECT CHECKLIST PACKAGE: FORM C-1, PAGE 3
BULLOCH COUNTY BOARD OF COMMISSIONERS**

		To be completed by Author		To be completed by Reviewer	
REQUIREMENT		AUTHOR COMMENTS		REVIEWER COMMENTS	
				COMPLY	
				Y	N
3.0 RESOURCES					
3.1	Roles and Responsibilities: List each key member of the project team, including the roles and responsibilities of each member.				
3.2	Labor Categories: Identify the allocation of labor categories (county forces v. outside contractors) that will be used through the duration of the project.				
3.3	Budget Estimates and Total Costs:				
3.3.1	Estimates and Costs for Labor Categories: Provide the budget estimates and total costs for each labor category listed in section 3.2.				
3.3.2	Estimates and Costs for Capital Investments: Provide the budget estimates and total costs for each planned capital investment.				
3.3.3	Estimates and Costs for Equipment Rental: Provide the budget estimates and total costs for any planned equipment rental.				
3.3.4	Estimates and Costs for Operating Costs: Provide the budget estimates and total costs for any planned operating costs.				
3.3.5	Estimates and Costs for Government Services: Provide the budget estimates and total costs for any planned use of government services.				

**CIP PROJECT CHECKLIST PACKAGE: FORM C-1, PAGE 4
BULLOCH COUNTY BORAD OF COMMISSIONERS**

		To be completed by Author	To be completed by Reviewer		
REQUIREMENT		AUTHOR COMMENTS		COMPLY	REVIEWER COMMENTS
				Y	N
4.0 TECHNICAL APPROACH					
4.1	Methods and Techniques: Discuss the specific project delivery methods for each phase of the project.				
4.2	Environment: Describe the software engineering environment chosen for this project.				
APPENDIX A: PROJECT SCHEDULE					
A.1	Provide the project schedule referenced in section 2.				
A.2					

**CIP PROJECT CHECKLIST PACKAGE: FORM C-1, PAGE 5
BULLOCH COUNTY BOARD OF COMMISSIONERS**

PROJECT NAME:			PROJECT COST:				
CRITERIA	3	2	1	0	Score	Weight	Sub-Total
Public Health and Safety (Investment Policy)	Alleviate a hazard.	Alleviate a potential hazard.	Maintain existing service level.	No known hazard.		3	
Mandatory Effect (Development Policy)	To meet a legal requirement.	To meet a contractual arrangement.	To carry out a joint project.	No effect.		3	
Preserve Capital Assets	Correct significant structural problems.	Repair important systems or finish a project.	Defer future expenditures or improve appearance.	No impact.		3	
Economic Development	Encourage capital investment.	Create job opportunities or stabilize existing jobs.	Attract consumers to the county.	No impact.		3	
Operating Budget Impact	Decrease personnel and O/M	Decrease either personnel <u>or</u> O/M	Increase either personnel <u>or</u> O/M	Increase personnel and O/M		3	
Life Expectancy	20+ years.	15-19 years.	10-14 years.	10 or less years.		3	
Level of Service	Offer a new service.	Expand the level of service to desired levels.	Will aid in increasing the level of service, but not meet a standard.	No impact.		3	
% of Population Total Served	50+	25-49	10-24	Less than 10		2	
Relation to Plans	Follows plan adopted by governing body.	Follows plan adopted by advisory body.	Follows management or staff operations plan.	No relationship.		2	
Extent of Use	Year round.	Seasonal and as needed.	Seasonal.	Limited or selective.		2	
Scheduling	Within 1 year.	Within 2-4 years.	Within 4-6 years.	Uncertain.		2	
Special Needs		Project meets obligation to serve special needs populations.		Project does not meet obligation to serve special needs populations.		2	
Leveraged Financing	Probability of funding greater than 50%.	Probability of funding less than 50%.		No financing or funding available.		1	
Timeliness	County is able to take advantage of a favorable situation such as price or availability.			No external influences or advantages.		1	
Public Support	Surveys or petitions.	Hearings.	Staff reports.			1	
					Total Score		
Comments:							

**CAPITAL PROJECTS AUTHORIZATION: FORM C-2
BULLOCH COUNTY, GEORGIA BOARD OF COMMISSIONERS**

DATE		PROJECT ID #	
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GENERAL PROJECT INFORMATION

Contract or Project Name			
Period of Project			
	<i>Name</i>	<i>Department</i>	
Project Requested By			

TYPE OF ACTIVITY REQUESTED (Check "X" appropriate boxes)

Planning	
Architecture/Engineering	
Acquisition	
Construction	
Vehicles/Equipment	

DESCRIPTION OF PROPOSED PROJECT (attach supplemental information, if necessary):

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FUNDING SOURCE

AMOUNT

SPLOST	
GRANT-IN-AID	
OPERATING BUDGET	
OTHER	
TOTAL	

COUNTY ROUTING APPROVAL

ARCHITECT-ENGINEER	DEPARTMENT DIRECTOR	PURCHASING OFFICER	CAPITAL PROJECTS	COUNTY STAFF ATTORNEY	COUNTY MANAGER
YES	YES	YES	YES	YES	YES
NO	NO	NO	NO	NO	NO
INITIAL	INITIAL	INITIAL	INITIAL	INITIAL	INITIAL
DATE	DATE	DATE	DATE	DATE	DATE

REFERRAL AND APPROVAL

APPROVED	DATE TO BE RETURNED
DENIED	NOTES:

**CAPITAL PROJECTS CHANGE ORDER AUTHORIZATION: FORM C-3, PAGE 1
BULLOCH COUNTY, GEORGIA BOARD OF COMMISSIONERS**

DATE		PROJECT ID #		CHANGE ORDER #	
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GENERAL PROJECT INFORMATION

Contract or Project Name					
Contractor Name					
	Name			Department	
Change Requested By					

(Fill In appropriate boxes) CHANGE(S) REQUESTED

	Price (\$)	Calendar Days
Total Original Contract Price and/or Date of Completion:		
Sum of Proposed Change Order Revision: Net Increase or (Decrease):		
Sum of Previous Change Orders: Net Increase or (Decrease):		
Revised Total Contract Price and/or Date of Completion:		

Explanation for Change (attach supplemental information, if necessary):

COUNTY ROUTING APPROVAL

ARCHITECT-ENGINEER		DEPARTMENT DIRECTOR		PURCHASING OFFICER		CAPITAL PROJECTS		COUNTY MANAGER		CHAIR OF THE BOARD	
YES		YES		YES		YES		YES		YES	
NO		NO		NO		NO		NO		NO	
INITIAL		INITIAL		INITIAL		INITIAL		INITIAL		INITIAL	
DATE		DATE		DATE		DATE		DATE		DATE	

COMMISSION ACTION AND REFERRAL

APPROVED		DATE TO BE RETURNED TO AGENDA
DENIED		NOTES:
DEFERRED		

**CAPITAL PROJECTS CHANGE ORDER AUTHORIZATION: FORM C-3, PAGE 2
BULLOCH COUNTY, GEORGIA BOARD OF COMMISSIONERS**

DATE		CHANGE ORDER #	
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GENERAL PROJECT INFORMATION

Contract or Project Name	
Contractor Name	

Item #	Description		Quantity	Unit	Cost Per Unit	Sub-Total Cost
1		Original				
		Revised				
2		Original				
		Revised				
3		Original				
		Revised				
4		Original				
		Revised				
5		Original				
		Revised				
6		Original				
		Revised				
7		Original				
		Revised				
8		Original				
		Revised				
9		Original				
		Revised				
10		Original				
		Revised				
Total		Original				
		Revised				

**CAPITAL PROJECTS PAYMENT/CLOSEOUT AUTHORIZATION: FORM C-4
BULLOCH COUNTY, GEORGIA BOARD OF COMMISSIONERS**

DATE		PROJECT ID #			
GENERAL PROJECT INFORMATION					
Contract or Project Name					
Period of Project					
	<i>Name</i>	<i>Department</i>			
Project Requested By					
PROJECT FUNDING REPORT (fill-in appropriate boxes)					
	Original Budget	Amended Budget	Balance Remaining	Amount of This Payment	Post-Payment Balance
Planning					
Arch./Eng.					
Acquisition					
Construction					
Vehicles/Equipment					
ACTION REPORT (attach supplemental information, if necessary):					
Invoices attached?	YES		NO		
Number of this Payment					
Accounting Purchase Order Number					
Total Project/Contract Payouts to Date					
Does this Payment Closeout the Project?	YES		NO		
FUNDING SOURCE			AMOUNT		
SPLOST					
GRANT-IN-AID	Reimbursement Required? ("X" if yes)				
GENERAL FUND OPERATING BUDGET					
OTHER FUND	(Specify)				
COUNTY ROUTING APPROVAL					
<i>ARCHITECT-ENGINEER</i>	<i>DEPARTMENT DIRECTOR</i>	<i>PURCHASING</i>	<i>CAPITAL PROJECTS</i>	<i>CHIEF FINANCIAL OFFICER</i>	<i>COUNTY MANAGER</i>
YES	YES	YES	YES	YES	YES
NO	NO	NO	NO	NO	NO
INITIAL	INITIAL	INITIAL	INITIAL	INITIAL	INITIAL
DATE	DATE	DATE	DATE	DATE	DATE
REFERRAL AND APPROVAL					
APPROVED		DATE TO BE RETURNED TO AGENDA			
DENIED		NOTES:			
DEFERRED					