Guidelines for Processing Minor Capital Projects

1. Project is anticipated to be within $35,000 and $1,000,000 and increases the usefulness, enhances efficiency, or prolongs the life of an asset. Examples of these projects are:
   a. adding new space;
   b. altering, extending or improving the programmed design or function of an existing space, e.g. renovation of research laboratory, office space, student housing, etc.
   c. permanent site improvement, e.g. installation of new landscape project; installation of upgraded utilities;
   d. upgrade in a building’s infrastructure.

2. Type of funding is NOT a determinant for whether a project is a Minor Capital Project. (Note: there is a limit of $100,000 per capital project on use of 19900 funds without prior state approval. California State Lottery Education Funds cannot be used for capital purposes.)

3. Cannot be used for maintenance work, for work specifically deleted from major capital outlay projects, and for phasing of projects costing in excess of $1,000,000.

4. The Total Estimated Project Cost includes fixed equipment as well as Group 2 and 3 equipment.

Minor Capital Project Approval Form Processing Notes:

1. A project is assigned to a Design & Construction Services (DCS) Project Manager. The assignment of a project is confirmation that the DCS Director and the Budget & Planning (B&P) Director of Capital Development authorize the project manager to proceed with the project using the Minor Capital Project process.

2. The DCS Project Manager works with the Originating Department to establish a strategy to execute and fund the planning and design phases of the project.

3. Prior to completion of the Construction Document Phase the DCS Project Manager will provide a final pre-bid cost estimate for the project, the Project Name, Project Number, CAAN (Building number prefixed with campus location number [8], i.e. 8545) and obtain an Environmental Impact Classification (EIC) from Campus Planning & Design. DCS then confirms the account number with the Originating Department for the appropriate fund sources, item VI.

4. The DCS Project Manager completes the Minor Capital Project checklist.

5. The completed Minor Capital Project Approval Form and attachments, inclusive of the DCS Director signature and Department/Control Point signature is delivered to Office of Budget & Planning to be processed for administrative approvals.

6. B&P will notify the Originating Department of project approval and forward a copy of the Minor Capital Project Approval Form containing all project approval signatures to the Originating Department and to DCS.

7. Once the project is approved by the Chancellor, B&P will notify the UCSB Business and Financial Services to transfer the budgeted funds to the capital outlay account to establish the Plant Account. The entire amount noted as “Total Estimated Project Cost” must be transferred to a Plant Account before the project is bid for construction.

8. Once bids are receive, if the project cost exceeds the budget, either scope reductions will be made and the project re-bid or additional funding must be approved and a Revised Minor Capital Project form must be processed and the additional funding transferred to the Plant Account before proceeding with construction.

9. Upon project completion, surplus funds will be returned to the Department and the plant account will be closed.

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