City of West Haven
Project/Tasks/Outcomes
A/O April 7, 2022

A. Budget
    1. Budget Surpluses
    2. Fund Balance
    3. Five year financial plan

B. Medical Benefits
    1. City/Sewer Dept. – Transition from Anthem to State Partnership
       City Savings of approximately $700,000 annually
       Sewer Savings of $225,000 annually
    2. BOE – Transition from Anthem to State Partnership

C. User Fee Evaluations
    1. Reviewed fees, indirect costs, various department charges –
    2. Real estate conveyance tax increase (Increase in revenue of approximately $650,000 annually)

D. Competitively Bid Electricity Rate and Rate Lock
    1. Savings generated for City, BOE, Sewer Dept. and Allingtown Fire District (Approximately $280,000 Savings)

E. Fire District Consolidation Study
    1. Established 3/5 year financial plans for operating and capital budgets
    2. Districts have generated 3 years of consistent surpluses and fund balance increases
    3. Each Department is meeting their actuarially determined pension contributions
    4. Tri-District Board established to facilitate efficiencies, greater operational collaboration, cost savings, economies of scale, and enhanced revenues

F. Established Operational Action Plans for Three Key Areas of Government
    1. Purchasing Procedures/MUNIS financial accounting system utilization
    2. Information Technology
    3. Human Resources

G. Real Estate Property Revaluation
    1. Conducted successful State mandated property revaluation – F.Y. '22

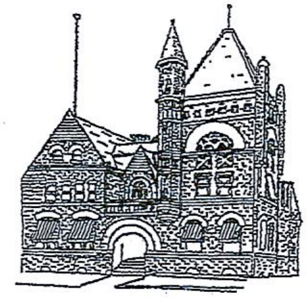
MUNIS TRAINING INFORMATION FOR CITY DEPARTMENTS

Sent 12/20/21

Department of Finance

City of West Haven
355 Main Street
West Haven, Connecticut 06516

Frank M. Cieplinski
Finance Director



City Hall
1896-1968

To: All City Department Heads

From: Frank Cieplinski, Finance Director

Subject: Accounts Payable / MUNIS Purchasing Process Changes

As you know from the Mayor's recent staff meeting and her follow up email memorandum last week, the City is embarking on a comprehensive restructuring of the entire purchasing function. This change will impact the accounts payable/purchasing process as well as introduce the required utilization of the MUNIS accounting system in all purchasing transactions.

This change will provide greater internal financial controls and checks and balances as well as create a more efficient system for departments to process purchase requisitions and access extensive financial information from the system without having to request it from the Finance Department.

The process to guide the organization through this transition will require several steps spread out over the next few months. We will start by exposing all users to the use of the MUNIS system through various documents and guidelines that we have developed and augment it with small group interactive training as needed. This initial step is designed to provide everyone involved with a basic understanding of the system through on- going live use of the software.

Attached to this email you will find a series of documents that you and relevant staff should read and review to familiarize yourself with this information. Since this is a work in progress please email us with any questions, suggestions, observations, etc. that you have that will assist us in responding to your needs and resolving issues that we might have overlooked or that need correction or clarification.

Please direct these inquiries to me by email and copy Wilma Petro, our Purchasing Consultant (wpetro@westhaven-ct.gov) and Michael Milone, the Office of Policy & Management Liaison to West Haven, (michaelmilone@snet.net) on the email. Also please identify the subject as **"Purchasing/ MUNIS Project Inquiry".**

We will be following up soon with the Purchasing Manual as well as instructions for practicing in the MUNIS Training system and in the meantime thank you for the time and attention you are devoting to this very important initiative.

Regards,

Frank

Telephone: 203-937-3626 • Facsimile: 203-937-3621
E-Mail: fcieplinski@westhaven-ct.gov

CITY OF WEST HAVEN

ACCOUNTS PAYABLE/MUNIS PURCHASING PROCESS GUIDELINES

A. Introduction and Overview

The objective of these guidelines is to establish a formal process that restructures the City's accounts payable and financial control system of internal checks and balances. A critical component of this initiative will be to reinforce the need to establish a valid purchase order **PRIOR** to ordering any goods or services and maximize the utilization of the MUNIS accounting software system for all accounts payable transactions. This transition to a totally computerized process should significantly streamline the purchasing approval process by making this operation fully automated, more efficient, and eventually much easier for staff to manage their purchasing responsibilities.

The MUNIS system will permit staff to automatically track their purchase requisitions, purchase orders, and vendor payments through the system and will allow staff to access their departmental budgets on demand in real time, as well as provide relevant information such as vendor inquiries, purchase order inquiries, payment status, etc., without having to request this information from the Finance Department. It will also allow departments to have easy access to real time, historical expenditures by account, line-item detail of payments, or vendor, which will greatly assist staff in the development of future budgets. **A key element to this electronic purchasing process will be the adoption of consistent, uniform, and clear purchasing guidelines required for each department to follow.**

One significant change in the purchasing process will be that the procurement of all goods (i.e., supplies, materials, and equipment), other commodities, contracts for work, or services required for any department, agency, board or commission of the City, **shall originate as a purchase requisition through the MUNIS purchasing system**. All purchase requisitions must be created **prior to the commitment** of the purchase of goods or services.

The purchasing process will begin with the department creating a purchase requisition with all supporting documentation, provided. Only after review of the requisition by the Finance and Purchasing Departments, to ensure accuracy of the line- item charge, verification of the sufficiency of funds and appropriateness of the request, will the requisition be approved, and a purchase order created automatically. It is at this point that the procurement or service can be executed as **the current voucher system will no longer be an acceptable means of acquisition.** If the procurement or service is an emergency, guidelines will be provided to explain how this must be processed and the requisite authorization.

This new purchasing procedure, utilizing the MUNIS accounting system, is outlined in section "B" of this correspondence. Additionally, there is a packet of items attached, identified as "Requisition Entry", "Requisition Approval", and "Purchase Order Change Orders", which provide screen shots that visually illustrate how to perform the tasks required, to create the purchase requisition and the supporting documentation. The "Requisition Entry" packet also includes information that describes and explains each of the fields available for data entry on each of the various screens utilized in this process.

As the screen shots and narrative information indicate, the creation of the purchase requisition will require inputting at least the following information: vendor and delivery information; quantity and unit cost; order details, budget line item and project codes (if required); additional budget line items, if necessary (only if acquisition is being charged to more than one budget line item or more than one division within a department). Also, please note that the purchase requisition could likely include multiple items within the budget line item, and these individual items must be listed (e.g. office supplies should be detailed as to each item that comprises the office supplies, quantity of each, unit price of each, and total cost of each item listed).

There are two types of purchase requisitions, the traditional purchase requisition, and the blanket requisition. The traditional purchase requisition is used when there is a one-time purchase of goods or services and there is an identified price, even if there are multiple payments for the goods or services over the course of the year.

The blanket purchase is used in instances where various supplies are needed on an ongoing basis from a vendor over the course of the fiscal year but the items to be purchased and the quantity or unit cost are unknown at the time that the blanket requisition is created. An example would be the Public Works department, acquiring various construction and equipment supplies over a period of time as their projects demand and might use a vendor such as Home Depot. The requisition would be based on an estimated amount, determined by the requisition originator, and not based on the quantity and unit costs of the items. **A more detailed explanation will be provided for these two types of requisitions in the purchasing manual which is being finalized and will distributed, shortly.**

B. MUNIS Purchase Requisition Process

Once the department creates a requisition request that has been populated with the necessary information, highlighted in earlier paragraphs, pages 2-7 of screen shots in the "Requisition Entry" packet identifies the actions required and steps that will follow.

1. MUNIS performs a check on available budget funds in the line item(s) being charged. If department funds are available, the process moves to step 2; if funds are unavailable, the originator is notified and works with the department head and the Finance Department, if necessary, to initiate the appropriate budget transfer. Once the transfer is completed, the requisition proceeds to step 2.

2. MUNIS pre-encumbers the funds at this point in the process. A pre-encumbrance is a temporary freeze on these funds to prevent duplication of use of the funds while the requisition is proceeding through the remaining steps in this process. Your department

budget will reflect this encumbrance in the designated line item on your monthly budget report until it is liquidated.

3. The Finance Department further reviews the requisition to verify the appropriate budget line-item account was chosen, sufficiency of funds, justification for the purchase, etc. If the requisition is approved, it moves to step 4. If denied, it is sent back to the appropriate originator (initial originator, department head) with an explanation for the rejection. Once the issue has been resolved to the satisfaction of the Finance Department, the requisition moves to step 4.

4. The Purchasing Department reviews the requisition for such items as cost, nature of purchase, choice of vendor, compliance with contract (if one applies), bulk purchase opportunity, bidding requirement, whether multiple purchase orders are being processed to avoid bidding, etc. If the Purchasing Department approves the requisition, it proceeds to step 5. If the Purchasing Department denies the requisition it is returned with a note to the department head and/or the originator. Once it has been resolved by one of them and the Purchasing Department concurs, it proceeds to step 5.

5. The purchase requisition is now formally converted to a purchase order and MUNIS encumbers the funds (as previously explained, an encumbrance is a reserve of funds for specific goods or services that have not yet been delivered) and is reflected as an encumbrance in your department's fiscal year-to-date budget report.

6. The Purchasing Department then orders goods and services from the vendor, in the form of a purchase order, which is transmitted electronically or by mail.

7. Goods and services are received by the department and the department verifies the accuracy and condition of materials received, and completeness of order. If the order is deficient, the recipient of the order resolves with the vendor and if necessary involves the Finance or Purchasing Departments.

8. If recipient is satisfied with the order, the department acknowledges receipt of the order electronically and then, uploads the vendor invoice into MUNIS for payment, certifying the items received and approving the payment.

9. Accounts Payable Clerk processes payment and a check is cut to the vendor and transmitted accordingly (i.e., mail, inter-office to department, personal pick-up, etc.). At this stage of the process, the respective department's budget report will reflect this charge as an expenditure as opposed to an encumbrance.

10. Department is notified through the MUNIS system that payment has been issued to the vendor.

Requisition Entry

Objective

This document provides instruction on how to enter a requisition into the Munis Requisition Entry program. This document is intended all users responsible for entering requisitions.

Overview

By entering a requisition, you are requesting funds to make a purchase. As soon as the requisition is entered, the funds for the purchase are set aside, or pre-encumbered, for the specified general ledger expense account. When the requisition is released, it moves through the approval process, after which it is converted into a purchase order.

Prerequisites

Before you can successfully complete this process, you must ensure that roles granting the necessary permissions have been assigned to your user account. If the roles have not been established, contact the system administrator to have them updated or added into the Munis system.

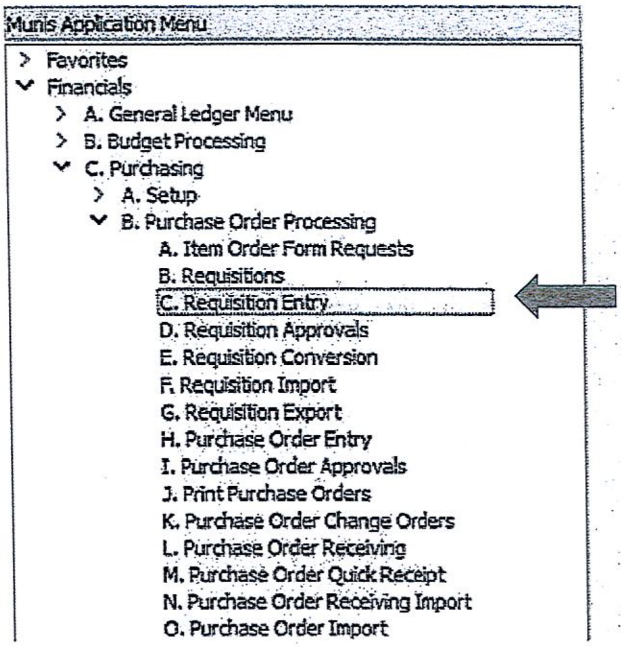
Before beginning the requisition entry process, gather the following information:

- The vendor name or vendor number from which you would like to purchase the items.
- The general ledger expense accounts that will be used for the purchase.
- The quantity, price, and description of the item being purchased.

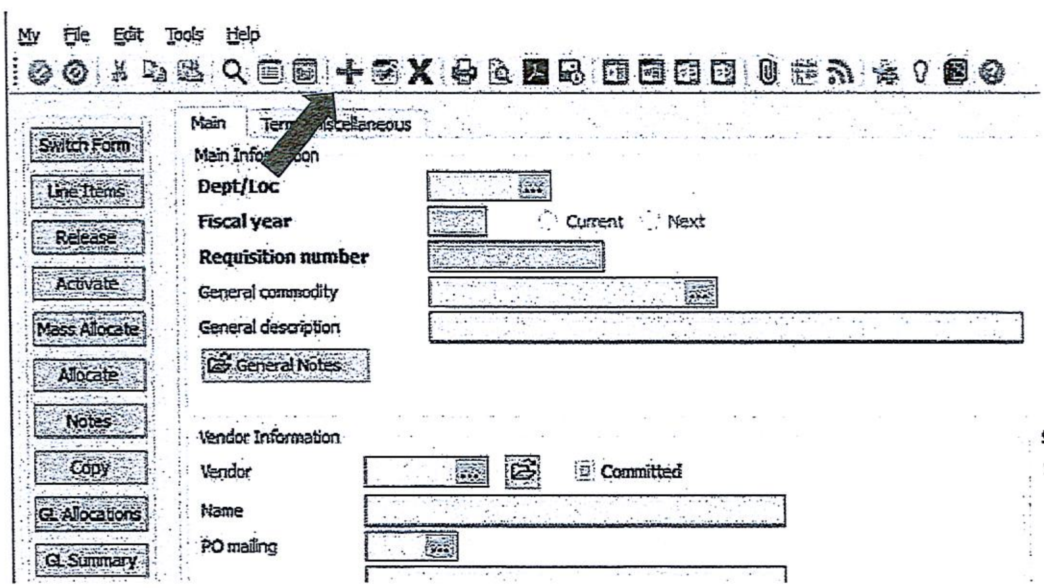
Purchase Order Requisition

1. From Munis Application Menu

Select Financials>Purchasing>Purchase Order Processing>Requisition Entry

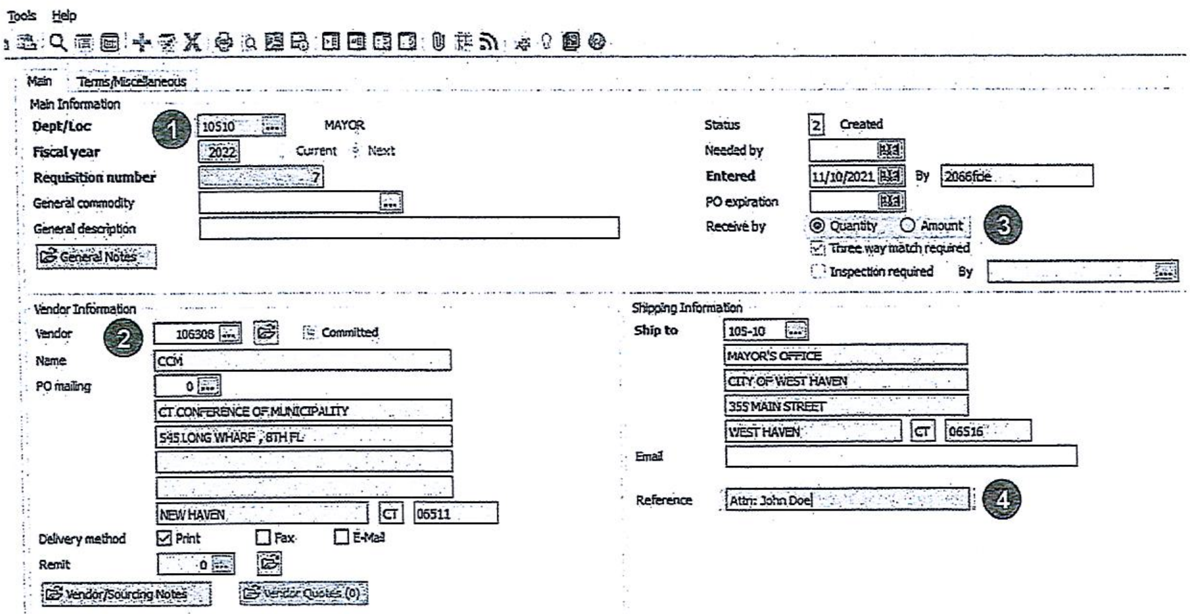


Click “Add” + for a new requisition



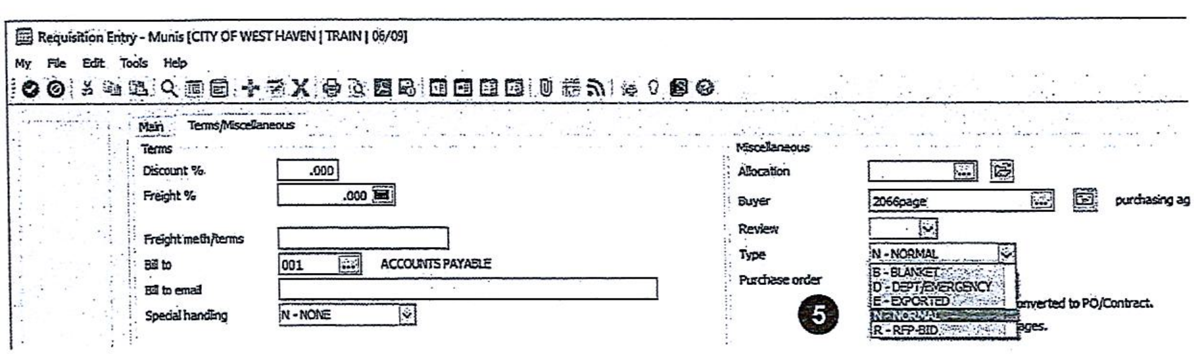
2. Enter Vendor and Delivery information

On the "Main" tab:



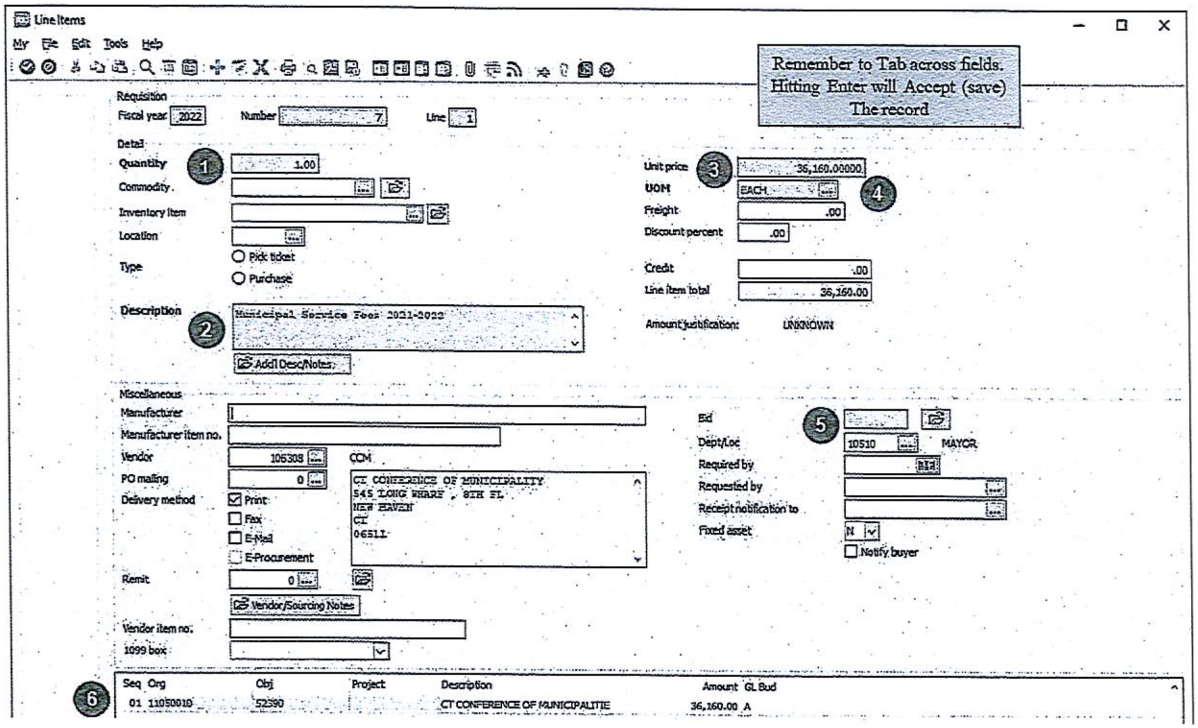
1. The Department/Location should populate. If you purchase for multiple locations please select via the dropdown menu. Enter general commodity, if unsure select from dropdown menu.
2. Select vendor number from dropdown menu or enter vendor number if known.
3. Select if you are ordering a quantity (product) or amount (service or blanket)
4. Enter staff member the items should be shipped to or department contact person.

On the "Terms/Miscellaneous" tab:



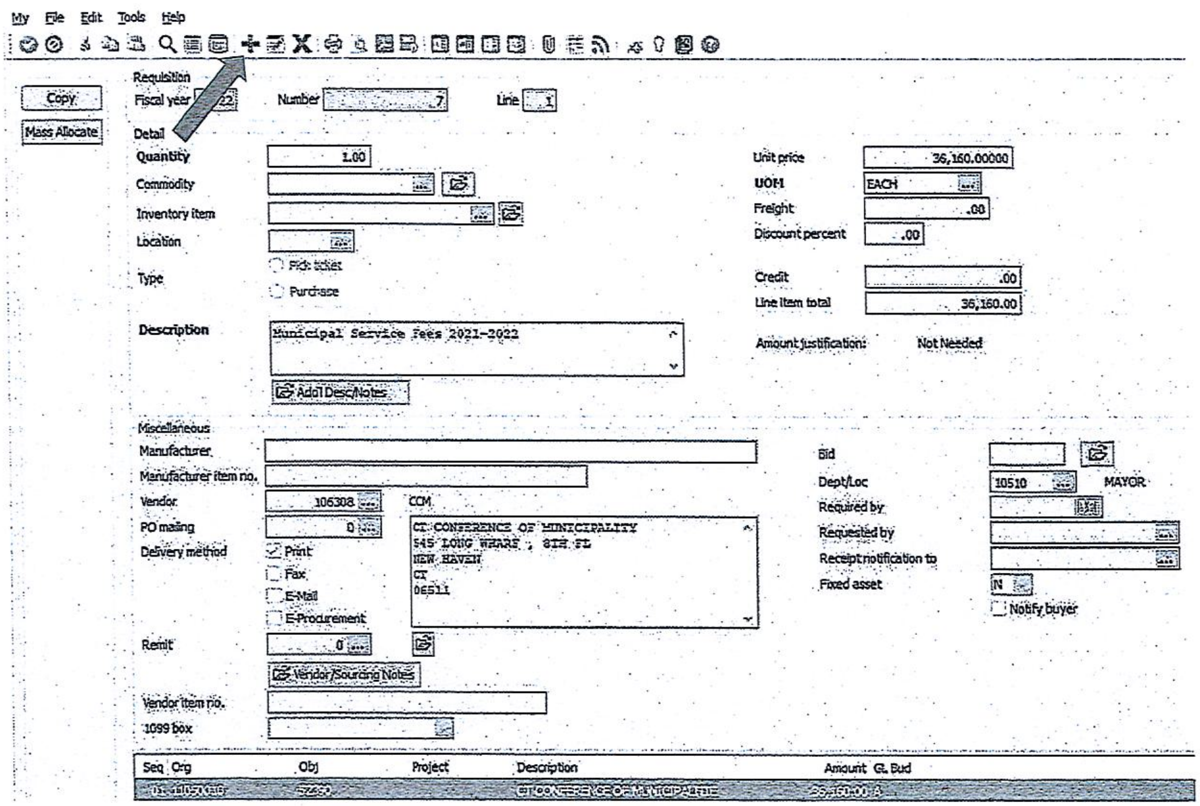
5. Select the type of purchase order that details items to be purchased.
6. Click "Accept" to save and continue to Line Detail.

3. Enter Order Details

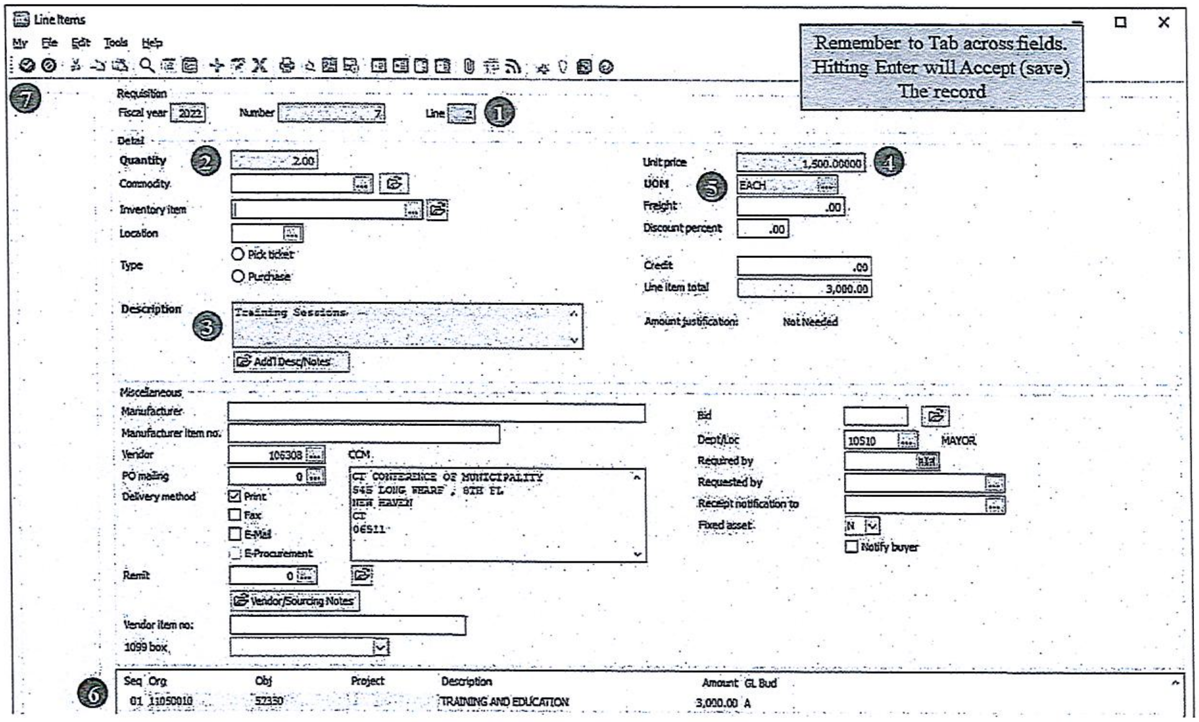


1. Enter Quantity (if you created an "Amount" PO then this will default to 1)
2. Enter description of purchase: include item part number and description
3. Enter cost per unit
4. Enter unit of measurement (will normally be "each")
5. If this PO is for a Bid Project then enter the Bid #
6. Enter organization, object, and project (if required) codes
7. Click "Accept" to save line 1

4. Click "Add" to add another line to this PO request

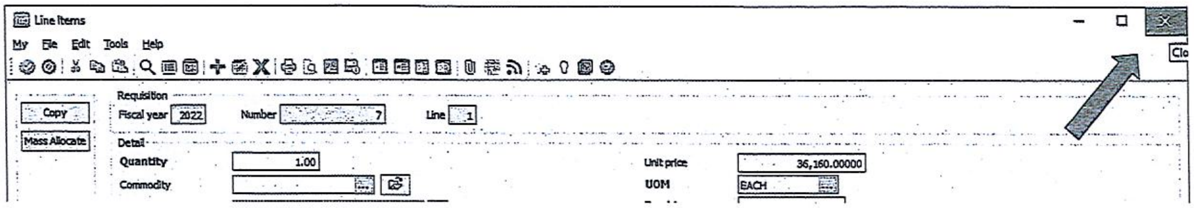


5. Add information for additional line item



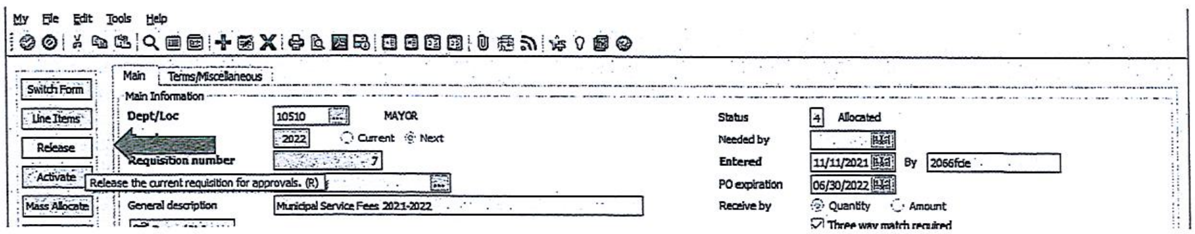
1. Verify next line item
2. Enter Quantity
3. Enter description of purchase: include item part number and description
4. Enter cost per unit
5. Enter unit of measurement (will normally be "each")
6. Enter organization, object, and project (if required) codes
7. Click "Accept" to save line. Repeat Steps 4 & 5 if additional lines items are needed.

6. Close Line Item Page



7. Review PO for accuracy before release

After reviewing the request, from the Requisition Entry screen click the Release option to submit the requisition and initiate the approval process. Once you have released the requisition for approval, you will be able to view the requisition, but will not be able to make any further changes to it unless it is rejected through the approval process.



Requisition Entry

Objective

This document provides instruction on how to enter a requisition into the Munis Requisition Entry program. This document is intended all users responsible for entering requisitions.

Overview

By entering a requisition, you are requesting funds to make a purchase. As soon as the requisition is entered, the funds for the purchase are set aside, or pre-encumbered, for the specified general ledger expense account. When the requisition is released, it moves through the approval process, after which it is converted into a purchase order.

Prerequisites

Before you can successfully complete this process, you must ensure that roles granting the necessary permissions have been assigned to your user account. If the roles have not been established, contact the system administrator to have them updated or added into the Munis system.

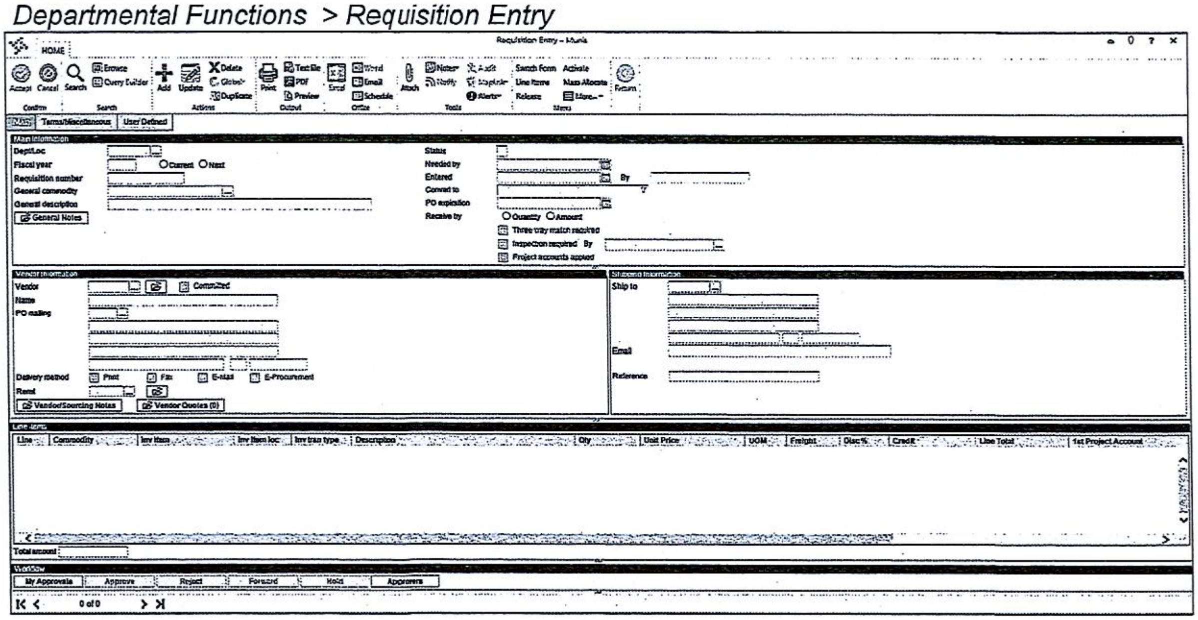
Before beginning the requisition entry process, gather the following information:

- The vendor name or vendor number from which you would like to purchase the items.
- The general ledger expense accounts that will be used for the purchase.
- The quantity, price, and description of the item being purchased.

Procedure

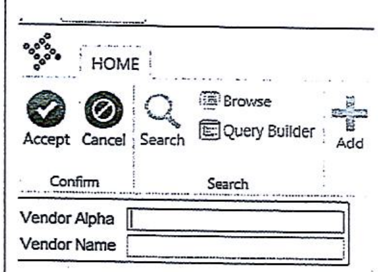
To create a requisition:

1. Open the Requisition Entry program.
   Financials > Purchasing > Purchase Order Processing > Requisition Entry
   -or-
   Departmental Functions > Requisition Entry



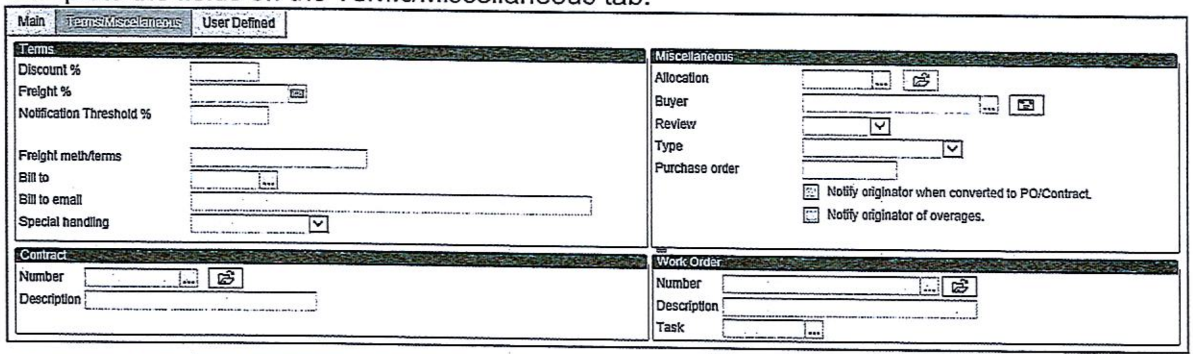
2. Click Add on the ribbon.
3. Complete the fields, as required, to define the requisition details. Refer to the following table for specific field information.

Field	Description	ESASD
Main Tab		
Main Information		
Dept/Loc	This box contains the department or location responsible for the requisition.	Will default for your department but can be changed.
Fiscal Year	The box identifies the fiscal year in which the requisition is created. This option can be the current or next year; the program automatically highlights Current or Next when you type the four-digit year.	
Requisition Number	This box identifies the requisition number.	The system will autopopulate the next requisition number for you.
General Commodity	This box specifies the general (type 2) commodity for the requisition. Press **Tab** to leave this box blank if your organization does not use commodity codes. Codes entered in this box must exist in the Commodities program.	Commodity Codes ARE NOT required, you may skip over this field.
General Description	This box contains a general description for the order. The description can contain up to 50 alphanumeric characters.	This description will carry over to the Purchase Order.
Status	This list indicates the current status of the selected requisition. This box is accessible when you click Search to locate a record.	2 – Created, 4 – Allocated, 6 – Released, 8 – Approved, 0 – Converted, 1 - Rejected
Needed By	This box specifies the date by which the goods or services in this requisition are needed.	
Entered	This box displays the date that the requisition is created.	
By	This box displays the user ID of the person who enters the requisition. When you are adding or updating a record, the program completes this box automatically, and you cannot change the entry. This box is accessible when during the Search process; type a user ID to find only those requisitions entered by that specific user.	
Convert To	This list allows you to define whether the requisition will be converted to a purchase order or a contract.	Convert to Purchase Order

Field	Description	ESASD
PO Expiration	This field defines the expiration date of a purchase order created from the requisition. The date entered in this box is automatically transferred to the purchase order record during the conversion process, but you can change it after the purchase order is created.	
Receive By	This option determines the manner in which the invoice will be received: quantity or amount.	
Three Way Match Required	This check box, if selected, indicates that a three-way match will be required for the purchase order that will be created from this requisition. This check box does not have any actual effect at the requisition level. It is intended as a method of speeding the data entry process, as the value of the check box is carried to the created purchase order when the requisition is converted.	Three way match will require that the Purchase Order, Purchase Order Receiving Record and the Invoice match.
Inspection Required	This check box is only available if you selected the Three Way Match Required check box and adds another level of matching.	You may skip this field.
By	This box contains the name of the inspector for the requisition.	You may skip this field.
Project Accounts Applied	This check box indicates that project account strings have been applied to the requisition.	Please uncheck this box unless your purchase is associated with an existing project in Munis.
Vendor Information		
Vendor	This box identifies the vendor from whom you are requesting the requisition items. You can type a vendor number, or you can click the field help button to select a vendor. If the Enforce Bid Defaults check box in Bid Management Roles is selected, only awarded vendors can be entered. The Committed Vendor check box, if selected, indicates that the vendor is designated as a sole source for the commodity. The information in Vendors provides the default value for this box, and you cannot change this.	You may enter a portion of the vendor name in the Vendor Alpha Field and click accept to search. 
Committed	This check box indicates that the	

Field	Description	ESASD
	selected vendor is a committed vendor, either because of a bid, or a contract. The check box is automatically selected or cleared based on the vendor and commodity code and cannot be manually updated.	
Name	This is the vendor's name, which is automatically entered based on the vendor number selected.	
PO Mailing	This box identifies the vendor's remit address to be used for purchase orders.	
Delivery Method	This is the desired delivery method for the completed purchase order. The default values of these check boxes are drawn from the vendor record. The E-Procurement option indicates that the purchase order will be submitted via the vendor's online shopping interface.	
Remit	This box specifies the address to which payments should be sent. The default value is zero if the vendor does not have any remit addresses on record; otherwise the default value is one. Values are zero or any existing remit address number for that vendor. When liquidating a purchase order in the Invoice Entry program, if the remit address number is greater than 0, the remit address entered in this field is the default value on the invoice.	
Shipping Information		
Ship To	This is the location to which the item should be delivered.	You may select another Ship To location from the field help.
Email	This is the contact email address for the shipping location.	
Reference	This is the name to reference on the vendor's shipping document. You can enter up to 30 characters in the box.	

4. Complete the fields on the Terms/Miscellaneous tab.



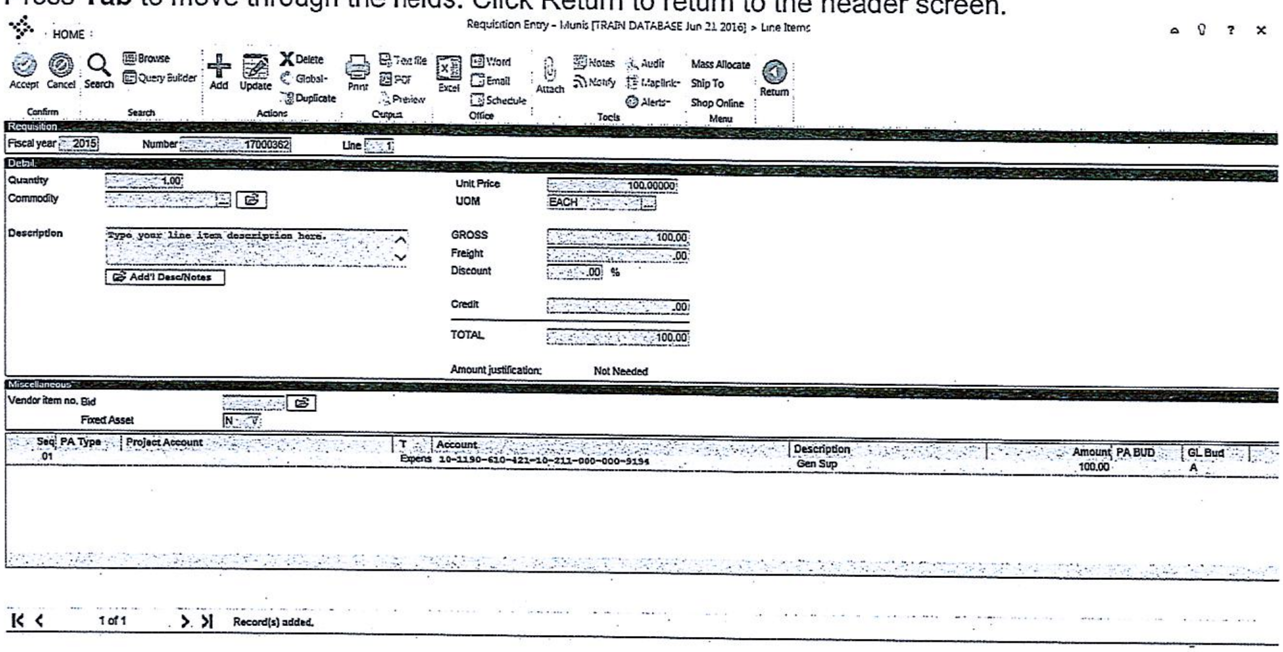
Field	Description	ESASD
Terms		
Discount %	This is the vendor's standard discount percent, if applicable.	You may skip this field.
Freight %	This is the percentage of the order that the vendor charges for shipping, if applicable.	You may skip this field.
Sales Tax %	This is the sales tax percent paid to the vendor.	You may skip this field
Use Tax %	This is the use tax percent that is paid to the state.	You may skip this field.
Notification Threshold %	The value of this box determines at what expenditure amount notifications are sent to the requester after the requisition is converted to a purchase order, and then liquidated with an invoice. The percentage is transferred to a purchase order during the conversion process.	You may skip this field.
Freight Method/Terms	This is the shipping method and terms. The default value for this information displays from the standard methods and terms identified in the Vendors program for the selected vendor.	You may skip this field.
Bill To	This is the bill-to code of the department or location paying for the item. If the Dept/Loc box has an associated default bill-to code, it is displayed in this box, but you can change this.	
Bill To Email	This is the contact email address for the billed department.	
Special Handling	This list identifies special circumstances for the requisition or purchase order:	

Field	Description	ESASD
	• None - No special processing. • Confirming - A confirming order, or a follow-up to a telephone order. This prints the words Confirming PO on the purchase order form. • Print first - Indicates that this requisition should be printed first once it becomes a purchase order. • Prepaid - Indicates that this is a prepaid requisition.	
Miscellaneous		
Allocation	This is the allocation code for general ledger distribution.	You may skip this field.
Buyer	This is the person requesting the item to be purchased.	
Review	This list determines the requisition's review process.	You may skip this field
Type	This list identifies the type of requisition: • Normal - Purchase order for specific goods or services. • Blanket - A purchase order that is intended to be used over a long period of time. • Dept/Emergency - Purchase order that must be rushed. • RFP/Bid - A request for proposal or bid.	
Purchase Order	This is the number assigned to this purchase order once converted.	
Notify Originator When Converted to PO	This check box, if selected, directs the program to send an email to the employee who entered the requisition that it has been successfully converted to a purchase order. If the Notify Originator When Requisition is Rejected or Converted to a PO check box in Department Codes is selected, this option is selected as well, but you can change this.	You will find this notification on your Tyler Dashboard in your Notification Tile. It will be labled RCP.
Notify Originator of Overages	This check box, if selected, causes the program to notify the requester when a requisition has liquidations greater than the specified amount.	You may skip this field.
Contract		
Number	This box contains the contract number associated with the selected commodity.	You may skip this field.

Field	Description	ESASD
Description	This is the contract description. The description is automatically completed	You may skip this field.
Work Order		
Number	This box identifies the work order number associated with a contracted service, if applicable.	You may skip this field.
Description	This is the description of the work order.	You may skip this field.
Task	This box contains the work order activity code.	You may skip this field.

5. Click Accept to save the header information. The program displays a new screen for the Line Items screen. You may also continue to the Line Items screen by tabbing through the last field in the Miscellaneous section.

6. Click Add to begin entering the line detail information for your requested line item. Press **Tab** to move through the fields. Click Return to return to the header screen.



Field	Description	ESASD
Requisition		
Fiscal Year	This box indicates the fiscal year in which the requisition was entered. The year is display only.	This value will default from the header screen.
Number	This box displays the requisition number entered on the main Requisition Entry screen. This number is display only.	This value will default from the header screen.

Field	Description	ESASD
Line	This box provides the item's sequence in the requisition. This number is assigned by the program and you cannot change it.	
Detail		
Quantity	This box specifies the order quantity for a single line item in the requisition. The program multiplies the number entered here by the unit price of the line item to calculate the net cost. The default quantity value is 1, but you can change this.	
Commodity	This box identifies the detail (type 4) commodity code for the item. Press **Tab** to leave this box blank if your organization does not use commodity codes.	You may skip this field.
Inventory Item	This box specifies the item number.	You may skip this field.
Location	This box indicates the location of the item.	You may skip this field.
Type	This option determines the item type: pick ticket or purchase order.	Leave this at Purchase Order.
Product ID	This is the product ID of the requested item.	
Description	This is an item description. You can enter up to 210 alphanumeric characters. If your site does not use the Bid Management module, and a commodity that has been defined as a Bid Item in Commodity Codes is used, this field is not accessible. The program uses the default value from the commodity code, which you can only override if you have been assigned permission to do so in Requisition Roles.	
Unit Price	This box contains the unit price of the goods or services specified on the line item. The program multiplies this amount by the quantity to calculate the line item total. For pick ticket lines, the unit price is entered from Inventory Items. The program uses the default value from the commodity code, which you can only override if you have been assigned permission to do so in Requisition Roles.	
UOM	This box indicates the unit of measure to be printed for the line item.	

Field	Description	ESASD
	The value of this box does not affect the calculation of the Item Total.	
Freight	This box indicates the freight charge, if applicable.	You may skip this field.
Discount Percent	This box identifies the vendor discount for this line item, if applicable.	You may skip this field.
Credit	This box records a trade-in or credit. When you enter an amount, the program reduces the line item total by the credit amount. You can enter a credit of up to 9,999.99 or until the line item total is reduced to zero. This credit prints on the requisition and resulting purchase order. Enter reasons for the credit in the Description box.	
Line Item Total	This box displays the total amount for the current line item. This amount is display only.	
Description	This box provides an item description. The description can contain up to 210 alphanumeric characters. Click the Add'l Desc Notes button to add more information.	
Miscellaneous		
Manufacturer	This is the manufacturer of the requested item, if applicable.	You may skip this field.
Manufacturer Item Number	If a manufacturer has been entered, this is the manufacturer's specific item number for the requested item.	You may skip this field.
Vendor	This box identifies the vendor from which to order the commodity.	You may skip this field.
PO Mailing	Identifies the specific vendor mailing address to which to submit the resulting purchase order.	
Delivery Method	This is the delivery method to use when delivering the purchase order created from the requisition.	This will default from the vendor file.
Remit	This is the remit address for the record.	
Vendor Item Number	This is the vendor's specific item number for the requested item, if applicable.	You may skip this field.
1099 Box	This list specifies the 1099 Box code. If the 1099 Default box for the Object Code segment the Chart of Account Segments	

Field	Description	ESASD
	program has been completed, the program completes the value. If the 1099 Default box in the Chart of Account Segments program is blank, the default value for this box displays from the Vendors program.	
Bid	This box identifies the bid number, if applicable. To update bid details, including the commodity, click the folder button to open the Create Bid Master program. If the Enforce Bid Defaults check box in Bid Management Roles program is selected, any information previously entered on the bid (such as unit price or discount) cannot be changed.	
Dept/Loc	This box indicates the department/location code of the requesting department. The default value is entered according to the department code associated with your user ID, but you can change this if you are authorized to order items for more than one department. If the department code is changed while adding or updating a requisition, the program displays a replacement confirmation message. Click Yes to replace the current data with the new department's defaults.	
Required By	This box specifies the date by which the goods or services in this requisition are needed.	
Requested By	This box contains the user ID of the person who requested the item. The value of this box must be a Munis user.	
Receipt Notification To	This box contains the Munis user ID of the individual to notify when the item is received.	
Employee	This is the employee to which the inventory item should be issued.	You may skip this field.
Fixed Asset	This list indicates if the item is a fixed asset (Y), a master fixed asset (M), or not a fixed asset (N).	You may skip this field.
WO Number	This box specifies a work order number, which is applicable only if the line detail item is for a work order. The program automatically allocates the line detail to the work order. Work order numbers apply if your organization uses Munis Work Order, Fleet and Facilities.	You may skip this field.

Field	Description	ESASD
WO Task	This box indicates the task code from the associated work order. Work order tasks apply if your organization uses Munis Work Order, Fleet and Facilities.	You may skip this field.
Risk Claim	If the requisition is associated with a risk management claim, this box contains the risk claim number. Click the folder button to view the risk claim record.	You may skip this field.
Notify Buyer	This check box, if selected, directs the program to notify the buyer when the item is received. To use the notification functionality, there must be an accurate email address in the E-mail Address box in User Attributes.	

Once you have entered the required line detail information, press **Tab** to move to the GL Allocation section on the Line Detail screen. This section contains the general ledger expense accounts that are to be charged for the specific line items.

Field	Description	ESASD
Seq	This box displays is the sequence number assigned to the line item by the program.	
Project Account	This box contains the project account number, if applicable.	
Account Type and GL Account Number	The account type Expense will default. The next box provides the account number of the general ledger account for the requisition. The program completes the account description when you enter an account number.	You may use the field help button to locate the appropriate account.
Percent	This box indicates the percentage of the total requisition amount that is allocated to this account.	
Amount	This box contains the total value of the items. This calculation assumes the cost of the line item is being allocated to a single expense account. Adjust this to distribute the cost over multiple allocation lines (for example, expense accounts), if desired, but the total of the allocation lines must equal the line item total.	

Field	Description	ESASD
PA Bud	This box indicates the project account status for the line item, if applicable.	
GL Bud	This box indicates the budget status for the line item. A budget allocation code of A indicates that the line item is approved, regardless of budget level. A value of U indicates that the account is under budget.	

7. Enter the general ledger expense accounts to which to charge the item. You can either type account number or click the field help button in each box to select the appropriate account.
8. To allocate the line item amount to more than one general ledger account, enter the amount to expense to the first general ledger expense account, and then press **Tab** to move through the remaining fields for the current line, and then to the next account line, where you can enter another expense account and amount. Repeat these steps as many times as needed, until the total amount allocated to expense accounts equals the total cost for the line item.
9. When all general ledger accounts are added, click Accept to save the detail.
10. If you have additional items to order, click Add on the ribbon of the Line Items screen and repeat the process for each item that you add to the requisition.
11. Once you have completed adding all of your requested items, click Return on the ribbon to return to the main Requisition Entry screen.
12. You may toggle between the main Requisition Entry screen and the Line Items screen by using the Return button (on the Line Items screen) and/or clicking on Line Items (on the ribbon of the Requisition Entry screen).
13. From the Requisition Entry screen click the Release option to submit the requisition and initiate the approval process.
14. Once you have released the requisition for approval, you will be able to view the requisition, but will not be able to make any further changes to it unless it is rejected through the approval process.

Requisition Approval

Objective

This document provides instruction for approving released requisitions. It is intended for personnel responsible for approving requisitions.

Overview

The Workflow Approvals web part, in conjunction with the Workflow business rules, establishes an electronic approval process for requisitions. When a requisition is released in Munis, the requisition is submitted to an approval process. The requisition must be approved by all necessary approvers in order for it to be converted into a purchase order or contract. This document describes the approval process using the Workflow Approvals web part.

Prerequisites

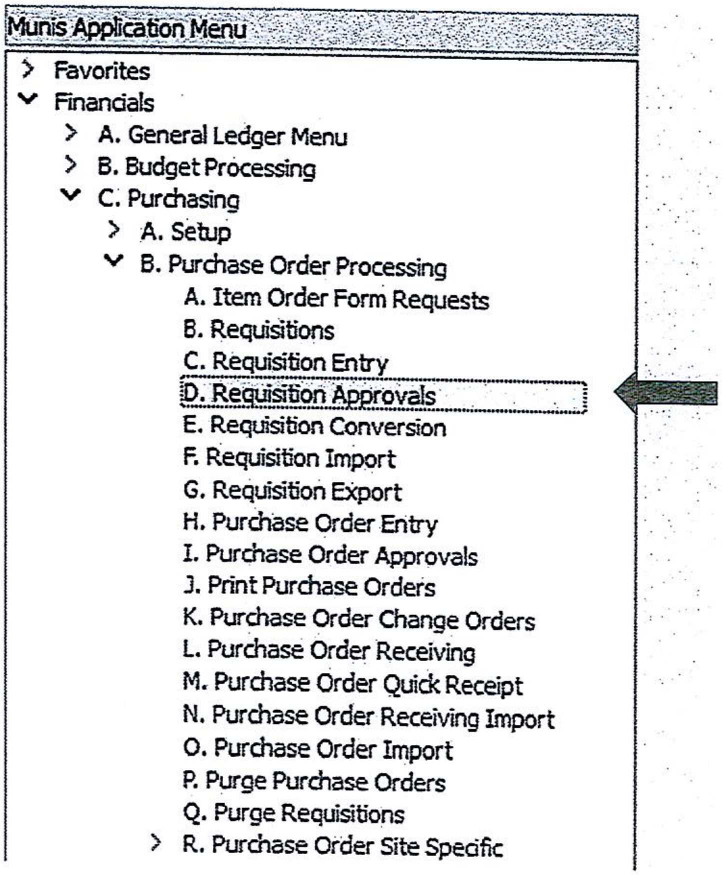
Before you can successfully complete this process, you must ensure that roles granting the necessary permissions have been assigned to your user account. If the roles have not been established, contact the system administrator to have them updated or added into the Munis system.

Confirm the following:

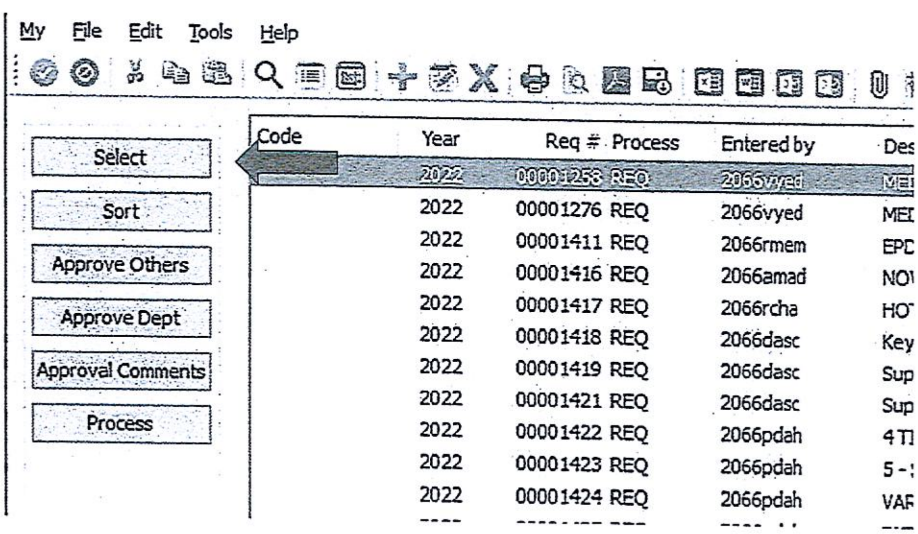
- Requisitions have been completed and released.
- Workflow business rules are established.
- You are included in the Workflow User Attributes program as an approver.
- You have access to the Workflow Approvals web part from the Tyler Dashboard.

Purchase Order Requisition Approval

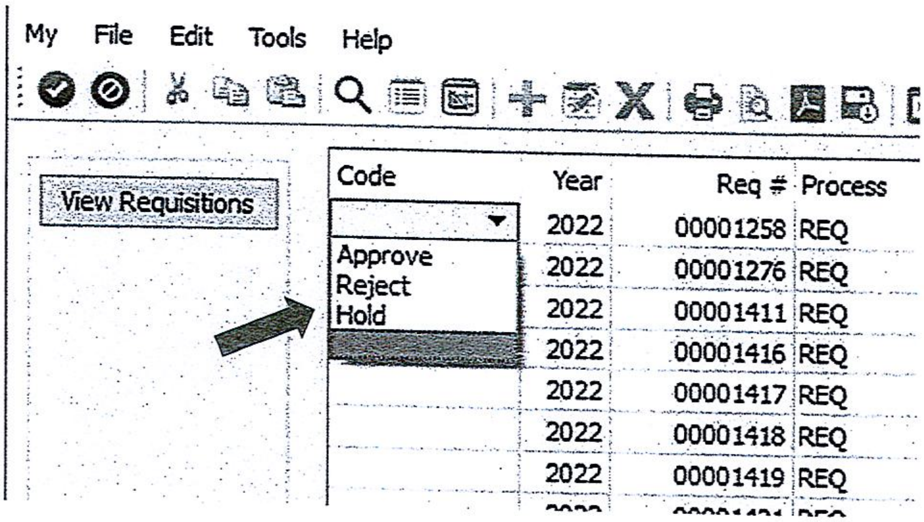
Select Financials>Purchasing>Purchase Order Processing>Requisition Approvals



Click "Select"

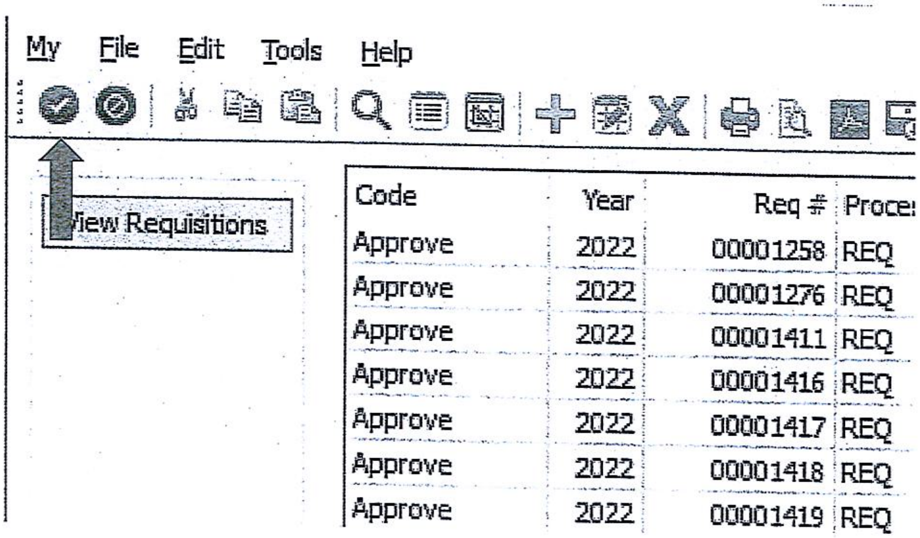


For each requisition, using the dropdown under "Code" select either Approve , Reject, or Hold

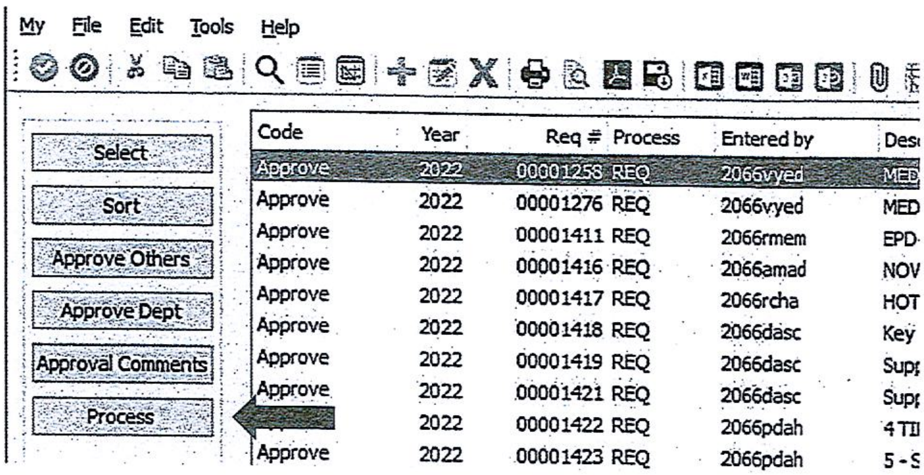


Button	Description
Approve	Identifies the record as approved, and sends notification to the next approver in sequence.
Reject	Rejects the item. You must enter a rejection reason. The program notifies the originator of the rejection and reason. The originator determines the next course of action (alteration and resubmission or deletion).
Hold	Retains an item in your approval queue for additional review. It will remain here until further action is taken.

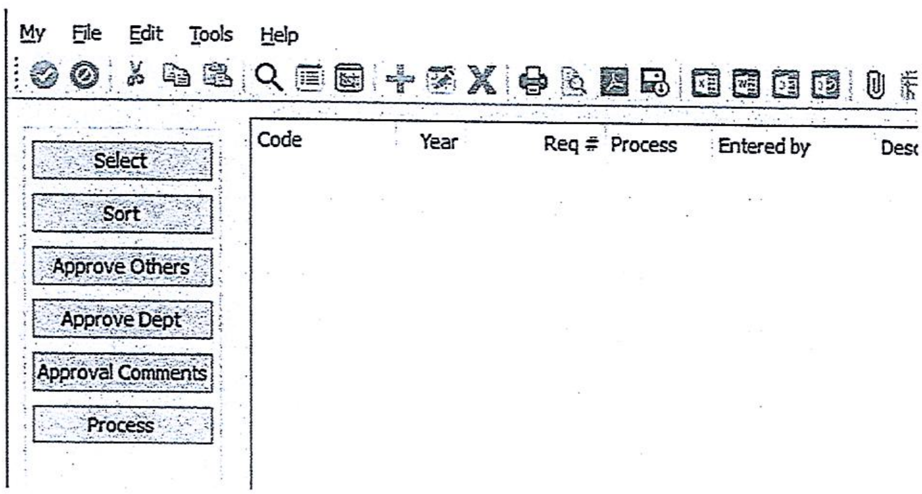
Once all the requisitions have a code selected click "Accept"



Click “Process”



Once all records are processed there should be no remaining requisitions no the screen



Purchase Order Change Orders

Objective

This document provides instructions on how to process a purchase order change order using the Purchase Order Change Orders program.

Overview

This program allows users to process PO change orders. A purchase order change order allows for change requests to be made with workflow approvals. The changes are not reflected on the purchase order until approved.

Prerequisites

Before you can successfully complete this process, you must ensure that roles granting the necessary permissions have been assigned to your user account. If the roles have not been established, contact the system administrator to have them updated or added into the Munis system.

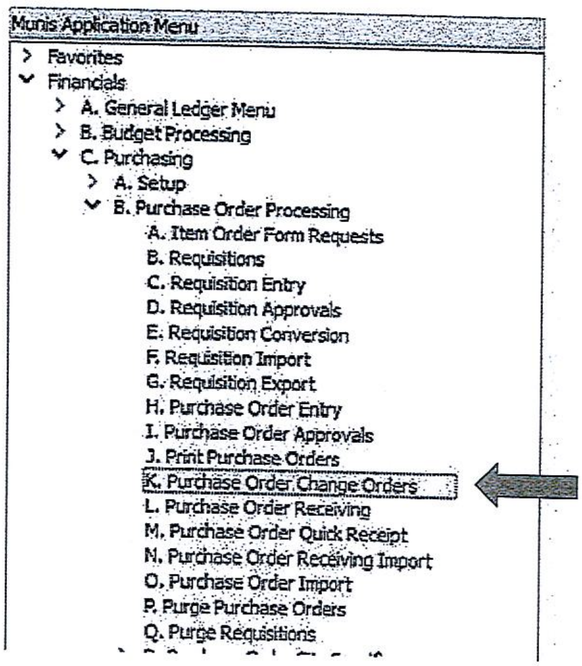
Confirm the following:

- The Allow Workflow in PO Change Orders check box is selected in the Purchase Order Settings program.

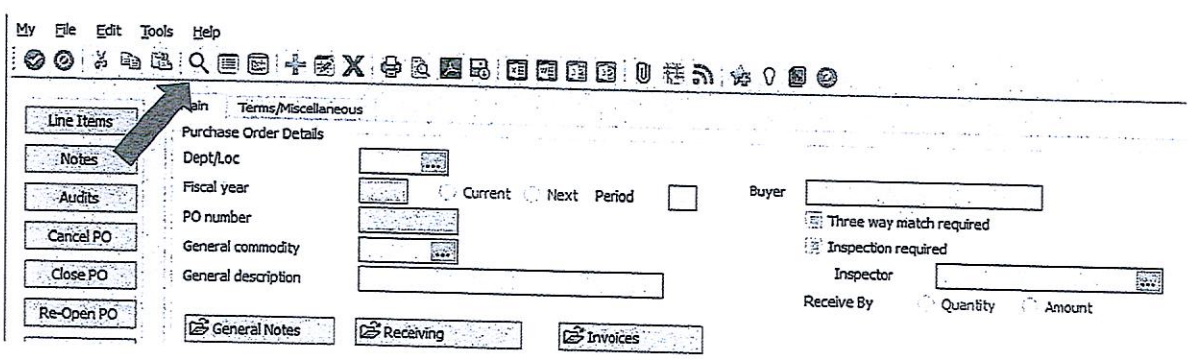
Purchase Order Changes

From Munis Application Menu

1. Select Financials> Purchasing > Purchase Order Processing > Purchase Order Change Orders



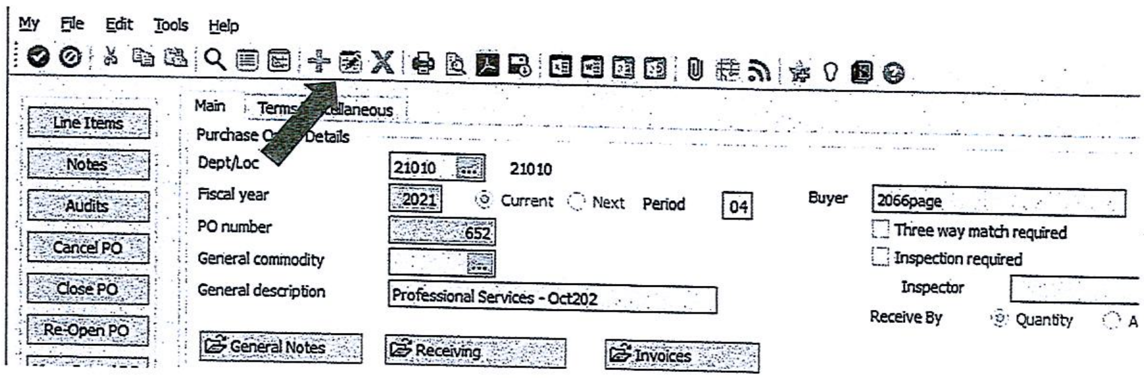
2. Click "Search" to find the purchase order to change



3. Enter the PO number and Fiscal Year of the PO to be modified.

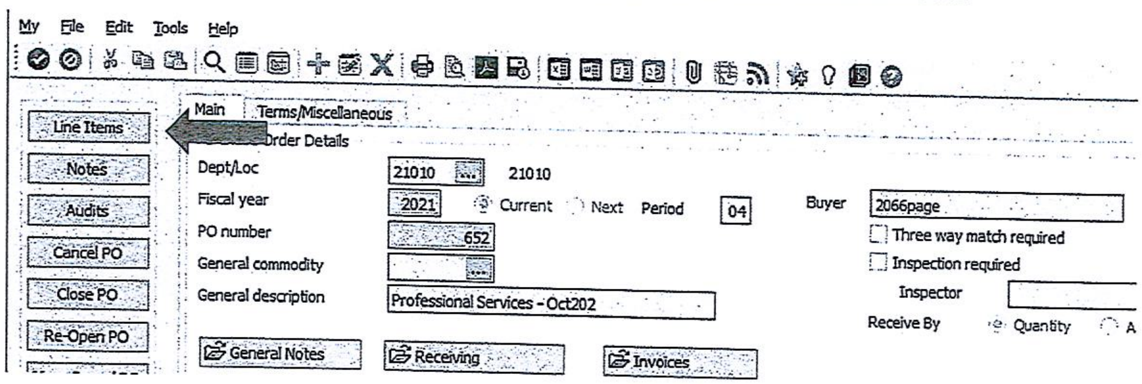
4. Click "Accept" to display the selected purchase order.

5. Click “update” to make changes to the PO Header



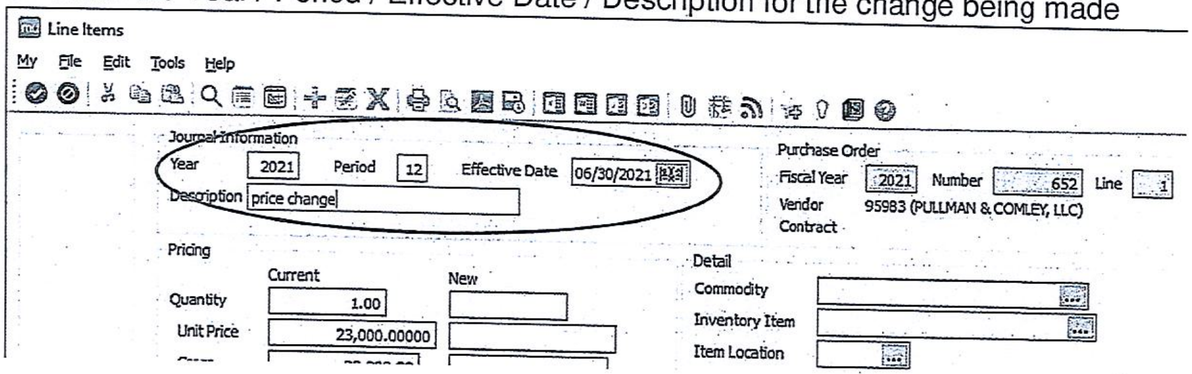
6. Click “Accept” to save your changes.

7. Click on the “Line Items” button to display the line item detail screen.

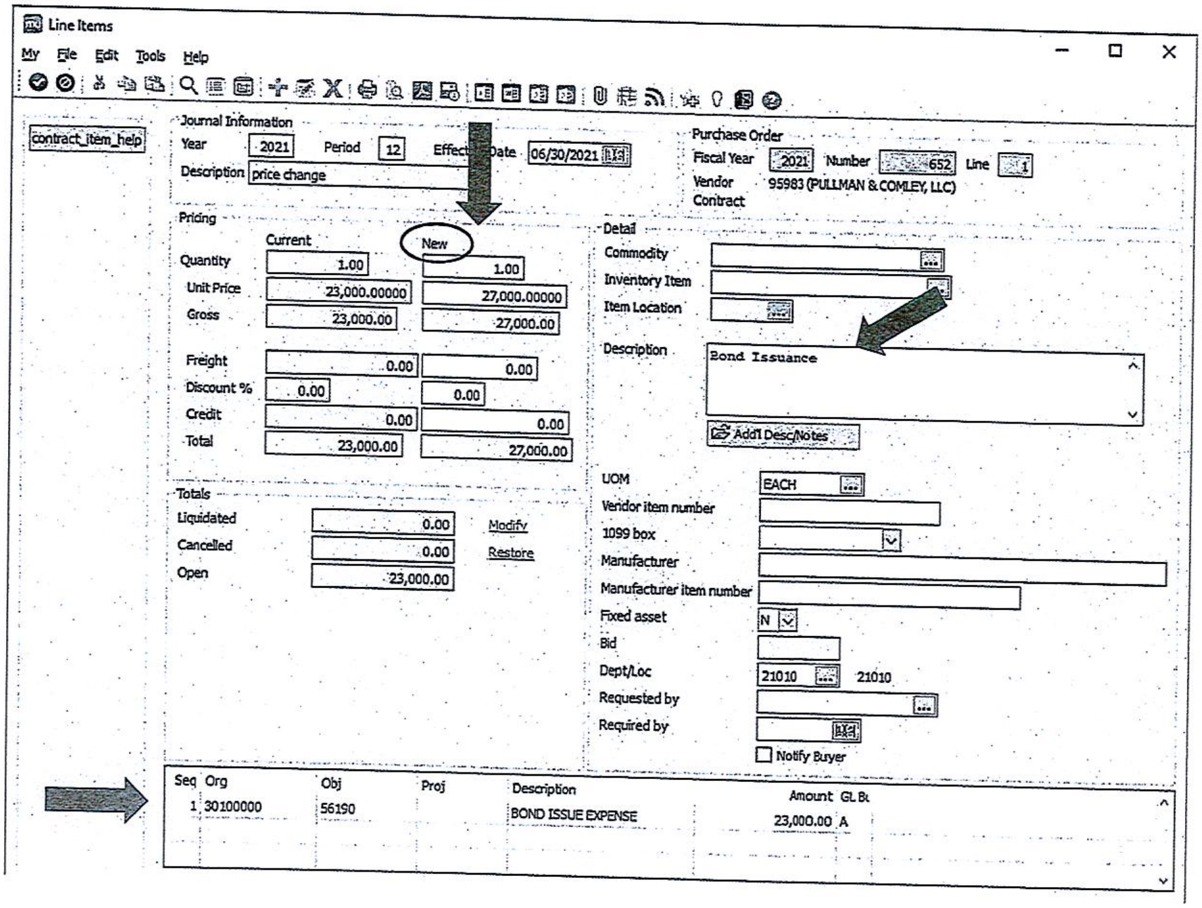


8. Click “update” to edit the line item.

9. Enter the Year / Period / Effective Date / Description for the change being made

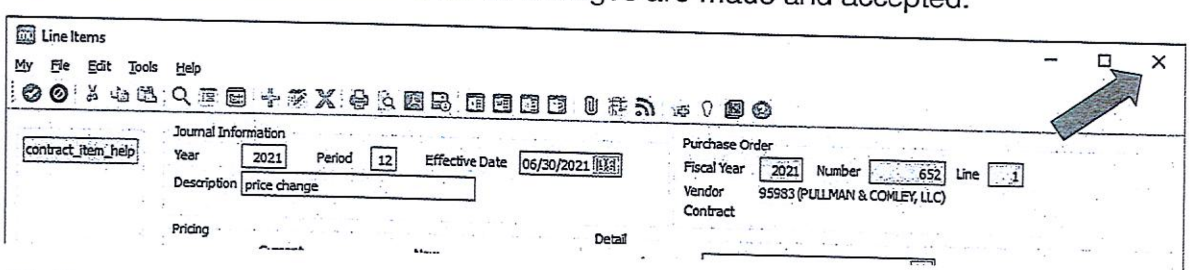


10. Click "Accept" to save the journal information. Make changes to quantity, amount, or account lines as needed.

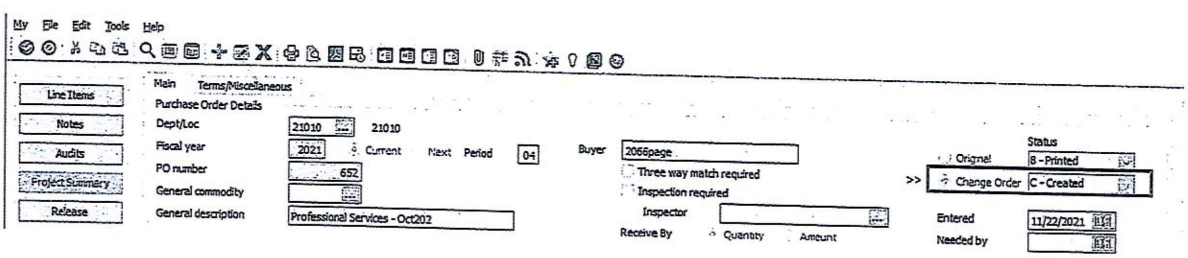


11. Click "Accept" to save your changes.

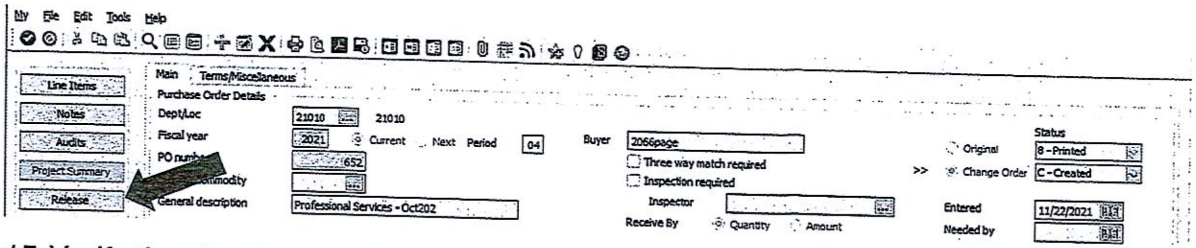
12. Close the line item screen once all changes are made and accepted.



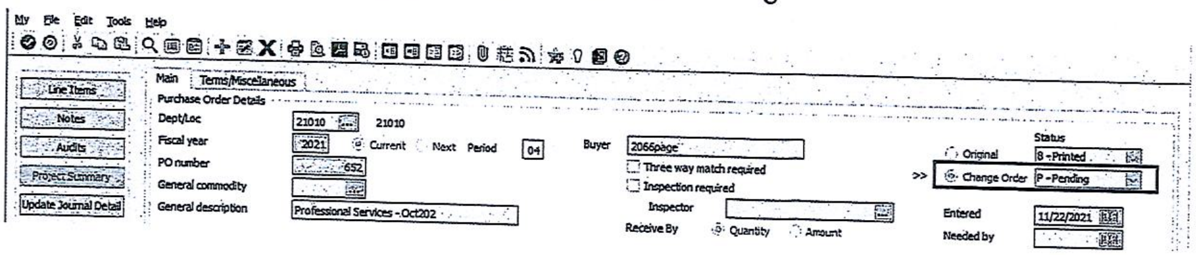
13. Once you return to the PO Header screen you can verify that the Change Order status is now C-Created.



14. Click on the "Release" button to release the changes and move the change order into the workflow process for approvals.



15. Verify that the Change Order status is now P-Pending.



Purchase Order Change Orders

Objective

This document provides instructions on how to process a purchase order change order using the Purchase Order Change Orders program.

Overview

This program allows users to process PO change orders. A purchase order change order allows for change requests to be made with workflow approvals. The changes are not reflected on the purchase order until approved.

Prerequisites

Before you can successfully complete this process, you must ensure that roles granting the necessary permissions have been assigned to your user account. If the roles have not been established, contact the system administrator to have them updated or added into the Munis system.

Confirm the following:

- The Allow Workflow in PO Change Orders check box is selected in the Purchase Order Settings program.

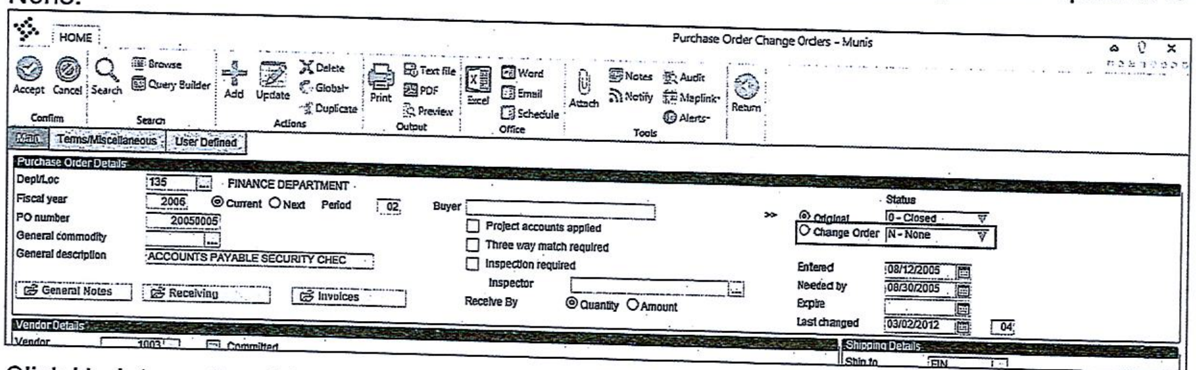
Procedure

The purchase order change order process includes cancelling and closing purchase orders.

Changing a Purchase Order

To enter a change order:

1. Open the Purchase Order Change Orders program.
   Purchasing > Purchase Order Processing > Purchase Order Change Orders
2. Click Search on the ribbon and enter the PO number and Fiscal Year of the PO to be modified.
3. Click Accept.
   The program displays the selected purchase order. The status for the Change Order option is N-None.



4. Click Update on the ribbon to make any required changes on the PO header screen.
5. Click Accept to save the changes.
6. Click the Line Detail option on the ribbon to update the details.
   The program displays the Line Detail screen.

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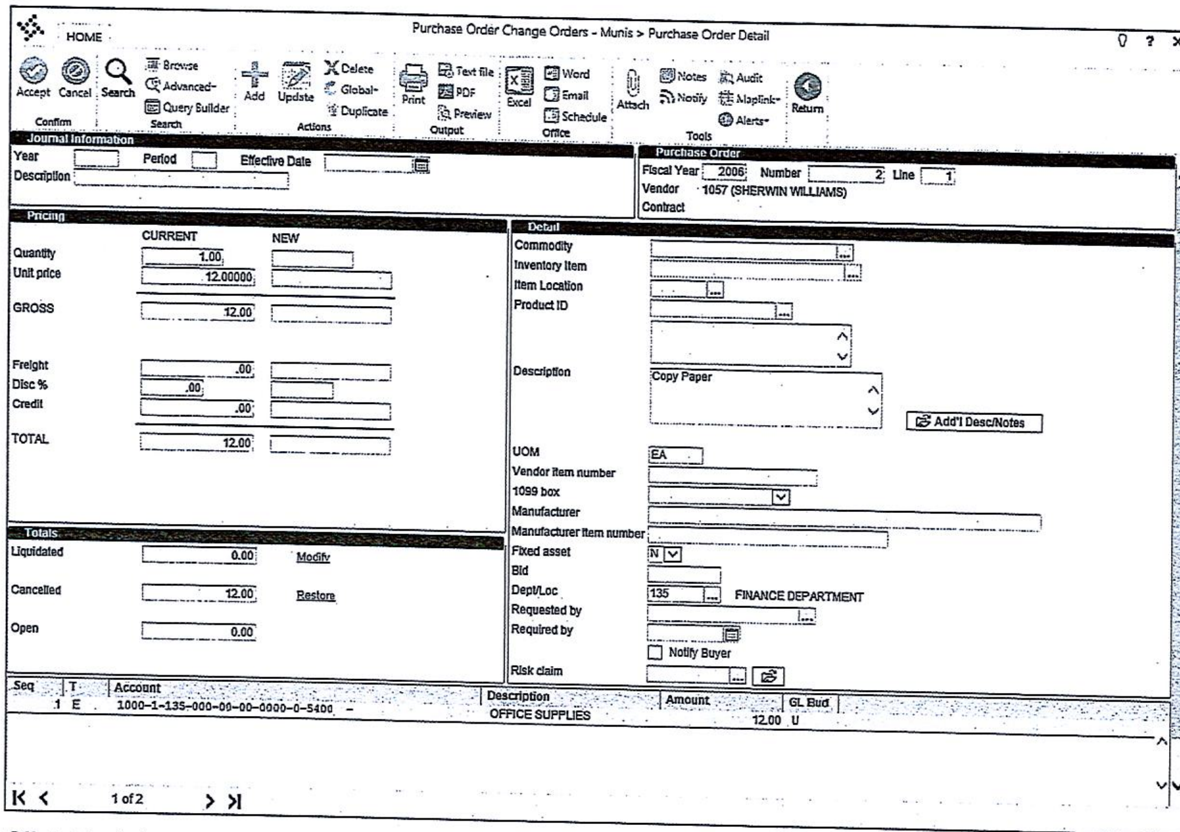
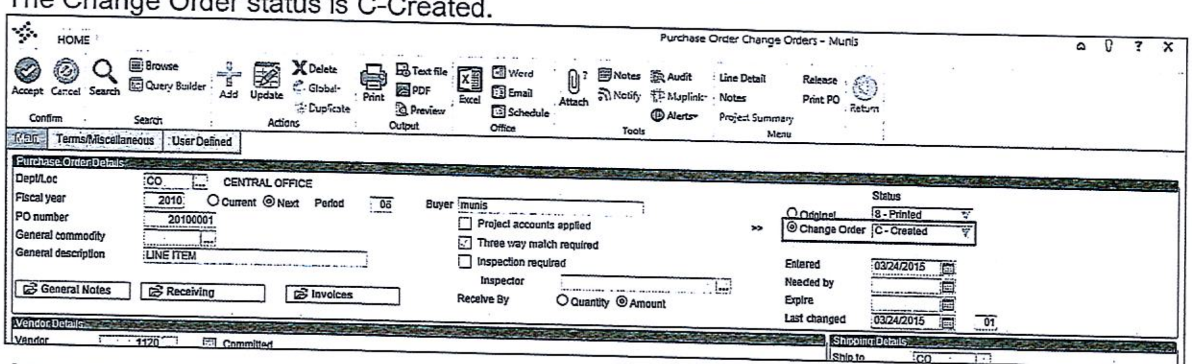


7. Click Update and make changes to the quantity, amount, or account lines as needed.
8. Click Accept to save the changes.
9. Click Return on the ribbon to return to the PO Header screen.
   The Change Order status is C-Created.



10. Click Release to move the change order to the Workflow process.
    The Change Order status is updated to P-Pending.

PERSONNEL
LABOR RELATIONS
ACTION PLAN

Personnel / Labor Relations
Action Plan

A. DEPARTMENT OF PERSONNEL & LABOR RELATIONS - STRATEGIC ACTION PLAN

Action Item #	Action Item	Responsible Party	Milestone Date	Status / Explanation
1	RESTRUCTURE PERSONNEL/H.R. ORGANIZATION			
1.1	Consider outsourcing Payroll and Benefits administration		7/1/2021	Completed
1.2	Create and fill the position of Benefits administration		7/1/2021	Completed
1.3	Reorganize Department structure and assign separate individuals to the duties of Human Resource administrator and Director of Personnel and Labor Relations		7/1/2021	Completed
1.4	Fill Directors position		10/18/2021	Completed
1.5	Create a position of Human Resource Generalist		7/1/2021	Completed
1.6	Fill Human Resource Generalist position	Director	10/1/21	Position posted; Interviews conducted - no strong candidate identified. (job desc. Modification recommended)
1.7	Create and fill the position of Payroll Specialist.	Director	5/1/22	Dedicated position required; payroll cannot be combined with Benefits administration due to demands /requirements of both reponsibilities.

DRAFT

Requires additonal headcount; new position requested

Action Item #	Action Item	Responsible Party	Milestone Date	Status / Explanation
2	BENEFITS ADMINISTRATION			
2.1	Implement Wellness Program	Director, H.R. Generalist, Office Asst.	6/30/22	Conn. Partnership Plane offers a Health Enhancement Program (HEP), a limited wellness program, but yet to be fully activated. HEP Education components are currently promoted through regulare newsletter issues. Plan is to activate and promote program for maximum integration.
2.2	Expand and Enhance State H.E.P.	Director, H.R. Generalist, Office Asst.	12/31/22	Will complement HEP with in house program to meet other employee health needs not provided by HEP.
2.3	Enhance benefit management oversight and employee advisory services	Director, Payroll/Benefits Coordinator	7/1/23	Development to begin once Coordinator can ensure her availability for this function.

Action Item #	Action Item	Responsible Party	Milestone Date	Status / Explanation
3	PERSONNEL (H.R.) ADMINISTRATION			
3.1	Audit of Immigration (I-9) forms for active employees.	Personnel Director	12/31/20	Completed and Reviewed. All forms were extracted from the individual employee files and relocated to separate repository binders.
3.2	Move Personnel files to a centralized and secure location.	Personnel Director	12/31/20	Completed and Reviewed. Personnel files are secured in locked cabinets.
3.3	Audit Personnel files for appropriate document filing.	Personnel Director	12/31/20	Completed and Reviewed. The following documents and/or records were purged from Personnel files and relocated: employees' medical history, status, etc.; medical leave, FMLA-related, workers' compensation; child support/garnishments; Affirmative Action self identification of race, gender, disability and veteran status.
3.4	Enhancing Recruitment Efforts	Personnel Director	In Progress	Utilizing job posting sites beyond Indeed.com. For each vacancy, coordinating a targeted advertising Plan (assoxiation-related, CCM, etc.) to attract job specific disciplines. Utilizing ADP Recruitment Portal to include "disqualifying questions" to eliminate non-qualified applicants.
3.5	Update Hire/Offer letters to comply with workplace standards	Personnel Director	12/31/20	Completed and Reviewed. New hire package includes an acceptance letter for new hires. An "Employment Acceptance Agreement" is included which includes job-specific information such as work schedule, start date, salary benefits, union affiliation, probationary period, and Employee Handbook of COWH policies and procedures. Employee signature is required upon acceptance. Employees changing positions receive a letter documenting job specific information.
3.6	Exit Interviews with terminating employees	Personnel Director	2/1/22 or first termination	Part 1: Exit interview format created (Completed). Part 2: Begin offering terminated employees invitation to meet with Personnel Director to discuss feedback prior to leaving. Will be initiated with next termination.
3.7	Labor Relations Strategies	Personnel Director	In Progress	1. Reinforce management rights across all labor contracts. 2. Re-evaluate past practices approach in resolving labor issues.

Action Item #	Action Item	Responsible Party	Milestone Date	Status / Explanation
4	**RECORD MANAGEMENT & COMPLIANCE**			
4.1	Employment Application Compliance - AA/EEO Statements	Personnel Director & Staff	12/31/20	Reviewed, revised and completed Dec 31st, 2020. Notices posted in all locations and added to application forms; City of West Haven website has been updated to include the AA/EEO verbage. Electronic and paper Employment Applications have been expanded to include disclosure, authorization sign-off for background test, pre-employment drug testing, and credit background.
4.2	Employment Application Compliance - Fair Credit Reporting Act Form	Personnel Director & Staff	12/31/20	Reviewed, revised and completed Dec 31st, 2020. On-line Employment Application Forms have been updated with Fair Credit Reporting
4.3	Sexual Harassment Training	Personnel Director	6/30/21	Reviewed and completed. On-line training application launched and communicated to all employees as a required training to complete. Completion of 2-hour course will generate a Certificate of Completion which is collected by Personnel and filed. Training is conducted on an ongoing basis and required.

B. PERSONNEL & LABOR RELATIONS - STRATEGIC OPERATIONS PLAN (2022)

Action Item #	Action Item	Responsible Party	Milestone Date	Status / Explanation
1	TECHNOLOGY / ADP PORTAL			
1.1	Expand on Recruitment Portal usage to ensure accurate applicant tracking	Personnel Director & Staff	In Progress	External postings include link for applicants to complete employment application within ADP Portal. Additional functionality to be determined.
1.2	Launch ADP Vers. II of time and attendance application	Payroll / Benefits Coord. and Personnel Dir.	Contingent on release of Version II from ADP	Time & Attendance phone App. - Version II - reduced distance radius from work site.

2	ORGANIZATIONAL DEVELOPMENT			
2.1	Develop a standardized format for Performance Assessment/Management	Organizational Development Specialist	FY 2023 Contingent on funding and recruitment of new position	Development of format contingent on addition of Organization Development Specialist
2.2	Design a Succession Planning Framework	Organizational Development Specialist	FY 2023 Contingent on funding and recruitment of new position	Framework will identify key positions, existing benchstrength; internal talent demonstrating greater capability for growth and development; documentation of action plans. Ongoing monitoring of progress.
2.3	New Employee Onboarding Program	Organizational Development Specialist	FY 2023 Contingent on funding and recruitment of new position	Key steps and common practices will be identified to assimilate new hires to the organization. Personnel Dir., Personnel Staff, and hiring managers will sign-off checklist for orientation steps completed.
2.4	Inservice Training and Professional Development	Organizational Development Specialist	FY 2023 Contingent on funding and recruitment of new position	Conduct assessment of training needed in areas such as Supervisory Skills, Project Management, etc.

Requires additional headcount Organization Development Specialist

3	PERSONNEL DEPT. OPERATIONS			
3.1	Identify goals, objectives and performance measures for Personnel Staff	Personnel Staff & Dir.	7/1/22	Begin development and plan to incorporate in FY '23 budget to clarify objectives, expectations, and performance metrics.
3.2	Review and update Personnel policies and procedures.	Personnel Staff & Dir.	9/30/22	In Progress.

INFORMATION TECHNOLOGY ACTION PLAN

Information Technology
Action Plan

Initiative: Information Technology Upgrades

Condition: The City of West Haven Windows Servers, SAN, email, firewalls, network switches are outdated and should be upgraded for security reasons. I recommend doing this in stages.

Solution: Implement new IT stack. Upgrade all legacy servers. Migrate from office exchange 2010 to O365. Improve IT security. Develop a Disaster Recovery plan. Resolve all network issues and upgrade the network & computers on windows 7.

Action Item #	Action Item	Responsible Party	Milestone Date	Status
1	Implement Nutanix AHV Virtualization			
1.1	Order Nutanix Hyperconverge Server (pre-requisite for upgrading Windows servers)	Jumaine	6/10/21	Complete
1.2	Sign Microsoft EA agreement	Jumaine	6/30/21	Complete
1.3	Purchase Datacenter Server 2019	Jumaine	6/30/21	Complete
1.4	Standup and configure Nutanix solution	Jumaine, George, Nutanix	7/10/21	Complete
1.5	Configure networks on Nutanix	Jumaine,George, Nutanix	7/10/21	Complete
1.6	Install MS DataCenter server on Nutanix cluster	Jumaine,George	7/10/21	Complete
1.7	Migrate Domain Controller to server	Jumaine,George, PerimeterWatch	7/10/21	Complete
2	Migrate MS Exhange e-mail server to Office 365			
2.1	Sign Microsoft 0365 Agreement	Jumaine	11/8/21	Complete
2.2	Stand up Office 365 tenant	Jumaine/Dell	11/17/21	Complete
2.3	Stand up domain controller in Azure cloud	Jumaine/PerimeterWatch	11/22/21	Complete
2.4	Migrate users e-mails to Office 365	George, Jumaine, PerimeterWatch	1/13/22	Complete
2.5	Migrate users map drives into 0365 One Drive	George, Jumaine, PerimeterWatch	1/28/2022 Rev. 2/28/22	In - progress. Need to revise approach to migrating departments in batches.
2.6	Migrate Dept Drive into Microsoft Sharepoint	George, Jumaine, PerimeterWatch	1/28/2022 Rev. Date 3/4/22	In - progress | need to switch gears and wait until OneDrive Migration is completed 2/28/22
2.7	Deploy Office 365/Train users	Jumaine, George	1/10/22	Complete

3	**Update all outdated servers to Windows 2019**			
3.1	Migrate and upgrade 2003 and 2008 servers to 2019 on Nutanix platform	Department Heads, Jumaine, George	6/30/22	In - progress
3.2	De-commission non-production servers	Jumaine, George	11/20/21	Complete
3.3	Development, testing, training	Jumaine, George	1/10/22	Complete
3.4	System analysis redesign	Jumaine, George	11/15/21	Complete
4	**Disaster Recovery/Business Continuity Plan**			
4.1	Meet with Back HYCU/ Backup Solution for Nutanix and 0365	Jumaine, George,CDW	12/3/21	Complete
4.2	Setup Call with GoogleCloud for Backup Solution	Jumaine,George,CDW	12/15/21	Complete
4.3	Sign cloud storage Agreement with Cloud Google	Jumaine	12/20/21	Complete
4.4	Meet with Druva/ Backup Solution for Nutanix and 0365	Jumaine,George	10/20/21	Complete
4.5	Setup HYCU Agent on Nutanix Node to Backup to MS Azure Cloud	HYCU, Jumaine, George	2/28/22	[redacted]
4.6	Setup HYCU Agent on physical Servers to backup to MS Azure Cloud	HYCU, Jumaine, George	2/28/22	[redacted]
4.7	Configure HYCU with Microsoft Office 365 for all backup	HYCU, Jumaine, George	2/28/22	[redacted]
4.8	Configure HYCU to talk with Google Cloud for all Backups	HYCU, Jumaine, George	12/17/21	Complete
4.9	Test Disaster Rovery/ Business Continuity Solution	Jumaine,George	6/30/22	Pending Est cost upon resources needed. This is contingent upon the availability of additional financial resources and network support.
5	**Upgrade Windows operating system to MS Windows 10**			
5.1	Need budget to replace all outdated computers to Win10	Jumaine	6/30/22	In-progress. Pending budget availability.
5.2	Vulnerability assessment and penetration testing	PerimeterWatch	6/30/22	Pending available finances in order to purchase equipment needed to redesigned network.

6	**Convert remaining physical servers to virtual servers and/or move to cloud services**			
6.1	Work with software vendors for supported requirements	Jumaine, George	9/30/21	Complete
6.2	Carve out virutal machines base on hardware requirments	Jumaine, George	6/30/22	In-progress
7	**Implement Hypervisor virtual machine monitor**			
7.1	Work with MSP/Resller on getting SIEM	Jumaine, PerimeterWatch	10/20/22	Policy Decision/ Pending approval of FY 23 budget request to implement SIEM Solution.
8	**Miscellaneous**			
8.1	Pilot Duo 2FA authentication setup	Duo, Jumaine, George, CDW	2/28/22 - Pending Vendor Availability	
8.1B	Deploy Duo to participating users	Jumaine, George,CDW	3/1/22	

	Resources Required:	Estimated Amount	Source(s)	
	Personnel			
	IT NETWORK, SECURITY ENGINEER	78-85K Salary		
	Equipment			
	Laptop + Docking Stations	$35,000		
	Core Network switches	$75,000		
	Firewalls	$45,000		Everything listed in this section represents our
	Wireless AccessPoints	$10,000		Equipment needs and cost
	IP PHONE	$60,000		this will need to be approved by mayor and Council and will
	Security Cameras	$25,000		proceed in the fiscal 23 budget deliberations
	APC Smart UPS	$6,845.00		
	Confrence Rooms Technology Upgrades (Mayor Chambers + 3Fl conf + Harrient North	$190,000		
	Security MagLock System	$15,000		
		$461,845		
		Total FY23 $461,845		

PURCHASING PROCEDURES AND MUNIS IMPLEMENTATION AND TRAINING ACTION PLAN

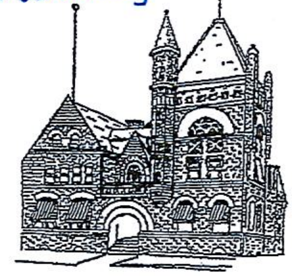
Purchasing Procedures / MUNIS implementation and training

Action Plan

Department of Finance

City of West Haven
355 Main Street
West Haven, Connecticut 06516

Frank M. Cieplinski
Finance Director



City Hall
1896-1968

2/17/2022

To: MARB West Haven Subcommittee
Subject: Procurement Initiative

Committee Members,

This is to serve as an update on the procurement initiative developed by the City of West Haven. The new procedures manual has been completed and distributed to the Department Heads along with a copy of the City's procurement ordinance and MUNIS purchasing process training pages showing step by step instructions for various tasks. As we continue to refine where needed those changes will be communicated to the staff.

The City's procurement consultant has drafted recommended changes to the ordinance and a subsequent request has been made to have the document be revised to show the redline changes to the original ordinance. Once that is complete it will be forwarded to Corporation Counsel for review and then to the City Council for discussion and ratification.

Training has begun with the department heads reinforcing the benefit and importance of the changes, outlining their responsibilities and how the new process will function. Staff have been generally receptive, and response has been positive leading to meaningful discussions. **I am very pleased to report that already people are reaching out daily to our consultant asking for guidance and clarification.**

The City met with candidates for the recently created position of Procurement Director and after multiple interview rounds we have extended an offer and are awaiting a response. Once the new Procurement Director is in place, he will begin the process of finding and hiring a procurement buyer. Additionally, the new Junior Financial Analyst will start on 2/23 which allows our Accounts Payable Analyst to begin the transition process and move full time into the A/P role.

The next steps will be to develop reports and metrics to help evaluate and control the effectiveness of and compliance with the process as we move forward. For example, discipline within the AP process, making sure accurate invoice dates are entered will allow us to identify any requisitions and purchase orders created after or suspiciously close to the invoice date.

Respectfully,

Frank M. Cieplinski
Finance Director

Action Item #	Action Item	Responsible Parties	Milestone Date	Status
1	Update/revise City Purchasing procedures and Accounts Payable procedures			
1.1	Planning session with Tyler/Munis re: Purchasing procedures and Accounts Payable procedures; capabilities of Munis	Finance Director	10/20/21	Completed
1.2	Draft revised/updated A/P Purchasing Process document and Purchasing Procedures Manual	OPM Liaison; Procurement Consultant; Finance Director	11/19/21	Completed
1.3	**Communicate changes in procedures to Department Heads. Special Department Head meeting to be convened by Mayor**	**Mayor**	**11/30/21**	Completed
1.4	Communicate changes in procedures to all City relevant City staff. Department heads to provide lists of relevant staff in each department. Finance Office to communicate changes.	Department Heads; Finance Director	12/03/21	Completed
1.5	Finalize A/P Munis Purchasing Process document	Finance Director; OPM Liaison	12/03/21	Completed
1.6	Develop or modify Purchasing and A/P related forms to ensure compatibility with Purchasing and A/P procedures	Finance Director; Procurement Consultant	12/15/21	Completed
1.6a	Create or modify existing bidding and purchasing documents, including boilerplate, contracts, specifications, and the back of the PO in order to implement best practices	Procurement Consultant	01/14/22	Completed
1.7	Finalize Purchasing Procedures Manual	Finance Director; OPM Liaison	12/15/21	Completed
1.7a	Distribute Manual to Department Heads	Finance Director		Completed
1.8	Review and evaluate change to current purchasing ordinance	Procurement Consultant; OPM Liason; Finance Director	TBD	Recommendations sent, awaiting Response
1.9	Communication from the Mayor reinforcing procurement responsibilities for departments	Mayor	01/05/22	Completed
2	Provide Munis training to Department Heads and City staff			
2.1	Dialogue with Tyler; Ensure Munis workflow/business rules in alignment with City revised procedures; review training options; verify desktop versions of Munis for trainees, etc.	Finance Director; IT Director	12/03/21	Completed
2.2	Schedule training sessions	Finance Director	12/10/21	In Process
2.3	**Communication from Mayor to Department Heads re: mandatory Munis training**	**Mayor**	**12/10/21**	Completed
2.4	Develop training materials	Finance Director	12/15/21	Completed
2.5	Begin offering self-directed training (web-based)	Finance Director	12/15/21	Completed
2.6	**Begin implementation of formal software training**	**Finance Director**	**01/05/22**	In Process

2.6a	Review and Train on New Procedures Manual	Procurement Consultant; OPM Liason; Finance Director	01/28/21	In Process
2.7	Follow-up training if needed	Finance Director	TBD	as needed
3	**Staffing for Procurement Function**			
3.1	Evaluate staffing needs; research staffing in other municipalities	Finance Director	11/09/21	Completed
3.2	Identify additional or revised positions needed; estimated cost	Finance Director	11/09/21	Completed
3.3	Research and develop job descriptions for new or revised positions	Finance Director; Personnel Director	11/30/21	Completed
3.4	Recruitment plan for additional positions	Finance Director; Personnel Director	11/30/21	Completed
3.5	**Mayor and City Council approval of job creation and authorization of funding (if necessary)**	**Mayor; City Council**	**12/13/21**	Completed
3.6	Begin execute recruitment and selection plan	Finance Director; Personnel Director	12/14/21	Completed
3.7	Re-evaluate staffing	Finance Director; Personnel Director	12/31/22	Completed
3.8	**Procurement Director hired and in place**	**Finance Director; Personnel Director**	**02/28/22**	Offer Extended
3.9	NEW - Post, interview, and appoint new procurement buyer	Procurement Director; Personnel Director	04/01/22	
4	**Evaluation**			
4.1	Develop metrics for evaluating compliance with Purchasing and A/P procedures	Finance Director	01/15/22	In process-Being evaluated
4.2	Evaluate compliance with Purchasing and A/P procedures and impacts	Finance Director	03/31/22	
4.3	Mayor follow-up with Departments re: results of evaluation	Mayor	04/30/22	
4.4	Modify policies and procedures based on findings in evaluation	Finance Director	05/31/22	

Resources Required:	Estimated Amount	Source(s)	
Funding for additional positions hired prior to FY23:- Procurement Director	$100,000 annualized salary + benefits	Increased PILOT funding due to State formula change	
Procurement Specialist (Admin support)	$48,000 annualized salary + benefits	Increased PILOT funding due to State formula change	

Note: Lines highlighted in RED are critical deliverable dates

CITY OF WEST HAVEN
FY18 - 19 Audit Issues

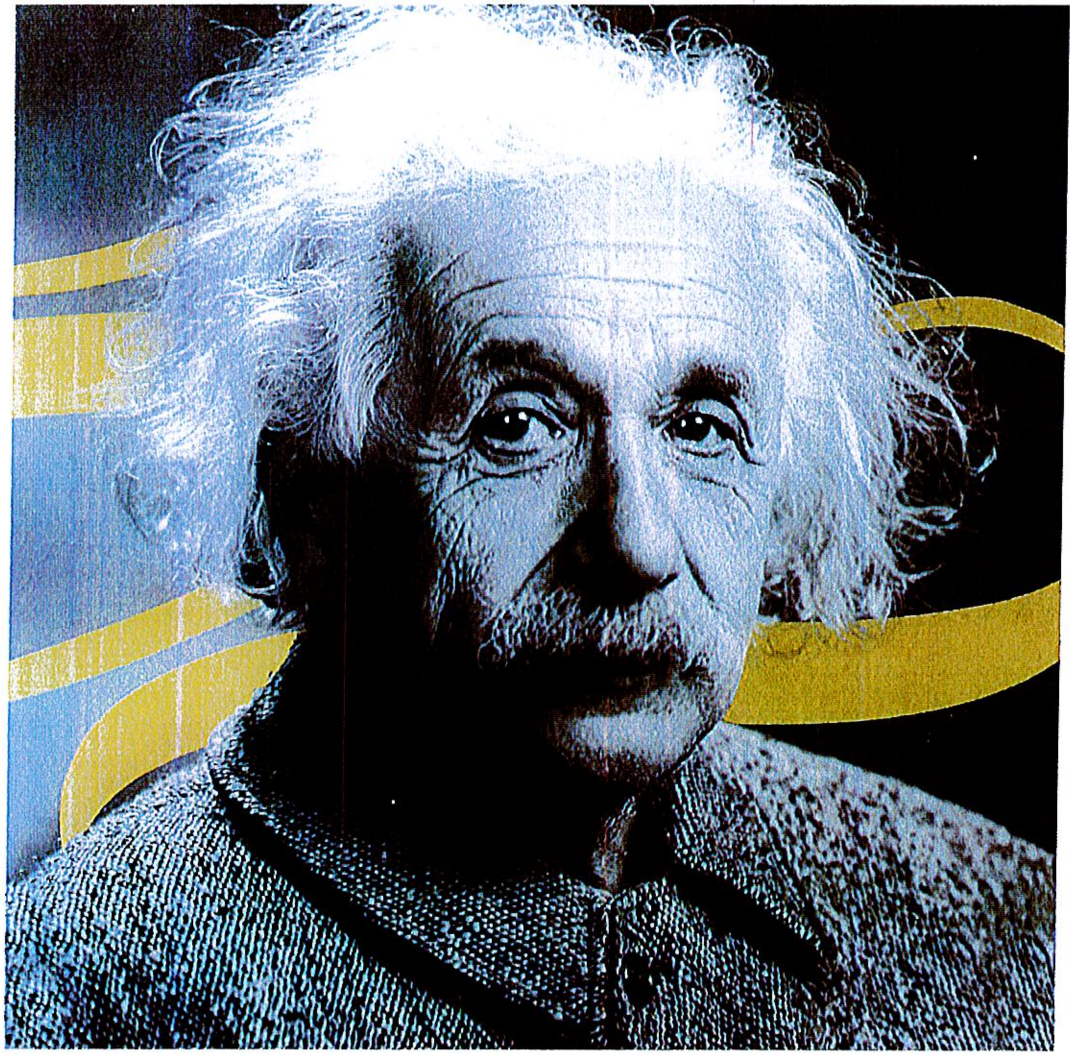
ID#	Area	Condition	Remedy	Comments	Date Completed	Status
1	Education - Payables	During our testing, we noted that a significant number of invoices that were not properly recorded in the proper fiscal year.	The Board will follow the generally accepted accounting principles set forth by the auditor. Effective immediately, the Board has instituted a new systematic month end cut off procedure. This will require the AP staff to book accruals for any invoices that have not been received prior to the close. This will allow the Board to compete its Month End Budget to Actual reports in a timely fashion and provide the reports to the City for their review and to meet their reporting requirements.	All invoices have been recorded to the proper fiscal year.	06/30/2020	Closed
2	City - Payroll	Currently, the City empployees that process payroll have the ability to change employee pay rates. These employees also have the ability to update/edit master files, deductions and are set up as payroll super users with no restrictions.	As of 9/1 an employee in the Personnel Department is responsible for changing rates when needed.	Further controls will be automatically implemented once ADP is in house.	09/01/2020	Closed
3	Education - Payroll	Currently, the Education Department payroll clerk that processes payroll has the ability to changeemployee pay rates. The employee also has the ability to update/edit employee master files,deductions and are set up as payroll super users with no restrictions.	The Board is awaiting the implementation of the of ADP as they were the company selected by the City from the Payroll RFP. This selection will clear this finding immediately. The Board has also recently hired a new payroll coordinator that will be trained accordingly. This person be taught all aspects of the new payroll system and will be shared with the city as a form of cross-training.	HR. Department enters all new employees, job changes, or salary changes into MUNIS and assigns proper salary step or change. Payroll department now only processes payroll.	07/01/2019	Closed
4	Bidding Documentation	• Bid documentation for certain projects could not be located.	Finance Director to invetigate which projects were missing and identify root cause of deficiency	The City has hired a procurement consultant to review all procurement processes and redefine or create as needed.	In process	Open
		• Bid waivers approved by City Council were not obtained for emergency projects above the bid threshold.	Department heads have been notified to contact purchasing director prior to adressing any further issues that may be exposed.		In process	Open
		• Items purchased under State bid were not formally documented on the purchase order or voucher	Department heads have been notified that all purchases made from the State Approved vendor list need to be properly documented.		In process	Open
5	City Clerk	Currently, there are no unique separate logins for each City Clerk Department employee. Allemployees process transactions using the same login.	After the November 2019 election the new City Clerk corrected the situation. Employees now use unique login IDs		12/01/2019	Closed
6	Tax Collector	Currently, voided transactions must be approved by a senior staff member, but there is no review andapproval of a monthly void report by the Tax Collector to monitor compliance with the procedure.	New process implented after the 6/30/19 audit and is now in place	In addition to the 2 signatures required at the window, when the drawers are taken off and counted by an Analyst if there is no second signature as is required by business practice on the Void, it is called to the attention of the Revenue and Asset Manager. Additionally, the attached report is reviewed and balanced with the daily cash report when the month is closed.	09/01/2020	Closed
7	Pension Plans	Currently, the Police Pension Plan and Allingtown Pension Plan investments are managed by separate investment advisors with separate investment strategies.	Corp Counsel is working on an RFP to consolidate investment management	Pension RFP scheduled for re-release 7/1/22		Open
8	Alternative Investments	Although the City has their investment manager monitor their pension investments, currently, therels no formal monitoring of the alternative investments by the City Finance Department and/or Pension Commission.	Corp Counsel is working on an RFP to consolidate investment management	Pension RFP scheduled for re-release 7/1/22		Open
9	Account Reconciliation	Currently, the City's withholding liability accounts were not reconciled at year end.	Accounting will implement a process to reconcile the witholding liability accounts		09/01/2020	Closed

Training Studio

CITY OF WEST HAVEN CONNECTICUT
SAVIN ROCK
NIL DESPERANDUM
SETTLED 1648 INCORPORATED 1921

AP / PURCHASING INITIATIVE

2/9/2022



"We cannot solve our problems with the same thinking we used when we created them"

WELCOME TO A NEW PROCUREMENT ENVIRONMENT

BRINGING BEST PRACTICES TO WEST HAVEN

- Transparency
- Open & Competitive bidding
- Assuring the highest quality solution for the City
- Clear & Consistent procedures
- Cost savings inherent with an open market
- Financial checks & balances

- The procurement of all goods and services and equipment shall originate as a purchase requisition through the Munis purchasing system and must be created prior to the commitment of the purchase.
- The City's previous voucher system is no longer an acceptable means of acquisition.
- Lack of planning by departments DOES NOT constitute an emergency
- Employees making purchases without following proper procedure may be held personally liable for the cost.

CATEGORIES OF PURCHASES

- Purchases under $2,500.
  - Purchases that are less than $2,500 may be purchased by the Department Head. Competitive pricing is not required but is encouraged.
- Purchases of $2,500-$9,999.
  - Departments shall obtain three (3) written competitive quotations. The Purchasing department can help facilitate this if necessary.
- Purchases that are at least $10,000.
  - Formal competitive process, whether it is a bid or a Request for Proposal (RFP) is required.

FINANCE DEPARTMENT
PURCHASING DIVISION
355 MAIN STREET,
CONNECTICUT 06516

REQUEST FOR QUOTATION

PHONE (203) 937-3619

QUOTATION NO: ____________
DATE OF QUOTE: ____________

VENDOR:	DELIVER TO:

F.O.B., Delivered, unless otherwise indicated

Delivery Required?	Quoted By:	REPLY DUE BY	Delivery Terms	F.O.B.

ITEM	QTY	DESCRIPTION	UNIT	TOTAL

DEPARTMENT RESPONSIBILITIES

- Advance planning.
- Communication with the Purchasing Department.
- Provide detailed, accurate specifications.
- Prepare requisitions in accordance with instructions.
- Inform the Purchasing Department of any vendor relations or shipping problems.
- Minimize urgent and sole source purchases and provide written documentation every time this happens.
- Assist the Purchasing Department with the review of all bids received for compliance with specifications.
- Splitting purchase orders to avoid procurement requirements, such as bid limits is no longer tolerated.

WHAT IS AN EMERGENCY PURCHASE?

According to the 2000 ABA (American Bar Association) Model Procurement Code:

"Emergency purchases are appropriate when there exists a threat to public health, welfare, or safety under emergency conditions…"

Examples of Real Emergencies: When there is a threat to the public such as a breach in a water tank, or contamination of a potable water supply. When there is a threat to public health or safety such as a chemical spill, extreme weather conditions, flooding, earthquake, other natural disasters, or acts of terrorism.

PROCRASTINATION AND INDECISION DO NOT CONSTITUTE AN EMERGENCY

BID vs QUOTE

QUOTE

- Not publicly advertised
- No formal opening
- Emailed quotes are acceptable
- Can be started and finished within a day or two

BID

- Must be advertised on our website and in the Newspaper
- Formal opening and the public is invited to attend
- Must be delivered in a sealed envelope/package
- State law requires a bid to be open for 10 – 30 days depending on the source of funds

BID vs RFP

- Bids are used when price is the most important factor.
- RFPs evaluate other criteria such as functionality, experience, quality etc.

- Bids are used when specifications are clear and concise.
- RFPs are used when a solution may not be known

- Bids compare apples to apples
- RFPs compare apples to oranges

- The State, through DAS has contracts the City can use.
- SCROG has bids and on call lists the City can use.
- Sourcewell and US Communities are examples of co-operative bids that the City can take advantage of.

CITY OF WEST HAVEN

PURCHASING PROCEDURE MANUAL

January 14, 2022

City Of West Haven

Purchasing Procedure Manual

Table of Contents

January 12, 2022

CITY OF WEST HAVEN PURCHASING PROCEDURE MANUAL

I. INTRODUCTION

This Purchasing Procedure Manual is intended to provide City Staff with a comprehensive document of information and guidelines to facilitate the acquisition of all goods, services and equipment needed to support the operation of the government and that must be followed in the exercise of any such acquisition by any City staff member.

The City of West Haven's procurement of goods, services and equipment is governed by local ordinance, state statute and federal regulations and should also be designed to ensure that the system follows best practices in the purchasing profession. These "best practices" consist of the following components: transparency; open and competitive conditions; assurances of acquisitions of highest quality goods, services and equipment; a clearly established procurement process; lowest possible cost acquisitions; and a financial process structure that ensures thorough financial controls and strong checks and balances. This manual is also designed to ensure consistency, uniformity, equity and efficiency in all purchasing activities.

This Purchasing Procedure Manual is augmented by two addendum to support and complement the information in this manual and consists of:

- The Accounts Payable/ Munis Purchasing Process Guidelines (Addendum A)
- The City of West Haven purchasing ordinance (Addendum B)

II. OVERVIEW

The City of West Haven's code, section 42-2 states that "The [Purchasing] Agent shall have the power and it shall be his duty to purchase or contract for all supplies and contractual services needed by any using agency which derives its support, wholly or in part, from the City." No exceptions. No purchases may be made by City agencies than through the Finance Department. Any employee who violates this provision may be personally liable for the amount of the unauthorized purchase. Additionally and as stated in the Accounts Payable/ Munis Purchasing Process Guidelines:

1. The procurement of all goods and services and equipment shall originate as a purchase requisition through the Munis purchasing system and must be created prior to the commitment of the purchase.
2. The City's previous voucher system is no longer an acceptable means of acquisition.
3. In the event of an emergency where the requisition process cannot be utilized there is an explanation of how these situations will be handled in a later section of this manual.

III. FINANCIAL CATEGORIES OF PURCHASES

The acquisition of goods, services and equipment associated with the ongoing day to day operation of the government can range from recurring needs to infrequent or one time utilization of services, ongoing leases, rentals and other continuing contractual obligations. The value of the obligation will fall into one of the categories below and be procured accordingly:

A. Purchases under $2,500. Purchases that are less than $2,500 may be purchased by the Department Head. Competitive pricing is not required but shall be used when practical.

B. Purchases of $2,500-$9,999. Departments shall obtain three (3) written competitive quotations. The Purchasing department can help facilitate this if necessary.

C. Purchases that are at least $10,000. Purchases of $10,000 or more require a formal competitive process, whether it is a bid or a Request for Proposal (RFP). This process is outlined in Section VIII Of this manual.

IV. RESPONSIBILITIES OF DEPARTMENTS

Departments are charged with the following responsibilities in the purchasing process:

A. To anticipate requirements sufficiently in advance to allow adequate time to obtain goods in accordance with the best purchasing practices identified in this manual.

B. To communicate and coordinate purchases within their own department and the Purchasing Department.

C. To provide detailed, accurate specifications to ensure goods obtained are consistent with requirements and expectations.

D. To prepare requisitions in accordance with instructions so as to minimize the processing effort.

E. To inform the Purchasing Department of any vendor relations problems, shipping problems (i.e. damaged goods, late delivery, wrong items delivered, incorrect quantity delivered, etc.) verbally and in writing, and any situations which could affect the purchasing function.

F. To minimize urgent and sole source purchases and to provide written documentation when such purchases may be necessary and in accordance with the guidelines in this manual.

G. To assist the Purchasing Department with the review of all bids received for compliance with specifications, and provide the Purchasing Department with written documentation regarding their findings, as outlined in this manual.

H. To not "split" orders for the purpose of avoiding procurement requirements, such as bid limits.

I. To insure that sufficient funds exist in the account being charged, and if not follow the process explained in this manual and/or the addendum A, accounts Payable/Munis Purchasing Process Guidelines.

J. Ensure that the acquisition is charged to the appropriate account number designated for this description of the purchase.

K. Provide justification for the appropriateness and need of the goods and services requested.

L. Explain the reason for the quantity, unit cost, and total cost of the goods and services requested.

V. NATURE AND TYPE OF PURCHASES

A. General Acquisition of Goods and Services

These are the basic and most frequent type of acquisition, providing the supplies and equipment supporting the ongoing operating needs of the government.

B. Contractual Services

Includes all telephone, gas, electric, water, light and power services; cleaning service; insurance; lease for all grounds, buildings, offices or other spaces required by the use of an agency; and the rental, repair or maintenance of equipment, machinery and other City-owned personal property, etc.

C. Professional Services

Services requiring the furnishing of judgement, expertise, design, advice or effort by persons other than City employees, not involving the delivery of a specific end or product defined by bid specifications. This shall include consulting, professional, legal, financial, personal and technical services, etc.

VI. CLASSIFICATION OF FORMS AND STEPS IN THE MUNIS REQUISITION PROCESS

The classification of forms and steps in the MUNIS requisition process is explained in the Accounts Payable/ Munis Purchasing Process Guidelines, which is a separate part of this purchasing procedure manual identified as Addendum "A". It is designed to guide a user through the steps in the electronic purchasing process while also including screen photos of the software document to provide visual recognition for the user. These Addendum "A" guidelines also summarize various terms and categories of activities while also referencing this Purchasing Procedure Manual which is designed to provide additional information on those items or processes to further clarify each. These terms and categories are listed below.

A. Purchase Requisition

The purchase requisition (PR) is the first step in the procurement process for any department needing goods or services. The electronic PR form is accessed by departments through the Munis accounting system. The PR must contain all pertinent information that is necessary for the order to be placed and is identified in the Accounts Payable/ Munis Purchasing Process guidelines. When a requisition is entered by the department, MUNIS checks the budget for fund availability. Once the requisition is approved at all levels, it becomes available for buyer processing by Purchasing Dept. staff. The approved purchase requisition authorizes the Purchasing Dept. to purchase the materials, equipment or services in accordance with established purchasing procedures, using funds from the requesting department's budget. Purchasing Dept. staff reviews the approved requisition and verifies that the information it contains is accurate based on competitive source selection where required. When the review process is complete, the electronic requisition will be converted to a Purchase Order.

B. Purchase Order

The multipart purchase order (PO) serves two purposes. It authorizes a vendor or contractor to provide goods or services to the City. Secondly, it creates an encumbrance, a freeze on the budget line item for the amount of the purchase. An encumbrance is a portion of the budget allocation in the accounting system that is being set aside for this particular item or service on the purchase order. Encumbrances keep track of budget commitments related to open purchase orders and contracts. Issuing a purchase order commits (freezes) that portion of the budget appropriation and thereby reduces total budget funds available for other spending by the amount of the encumbrance.

Purchase orders are generated electronically from the information contained in the purchase requisition. The PO includes any additional information that the Purchasing Dept. may add in order to clearly identify to the vendor the goods or services being ordered. Purchase orders are printed in the Purchasing Dept. office. Copies are distributed to the vendor, the ordering dept, and the Finance Dept.

Once a purchase order has been issued to a vendor, its terms and conditions form a contract between the City and the vendor. Purchasing Dept.'s staff can cancel or make changes to a purchase order at the request of the user department. The Purchasing Dept. will coordinate any such changes with the user department, the vendor and the Finance Department, and copies of the change order will be distributed to all

C. <u>Blanket Purchase Orders</u>

When a department makes frequent purchases of supply items from one supplier it would be costly and time consuming to issue separate purchase orders for each purchase. Instead, blanket purchase orders can be issued to cover these purchases from a <u>single</u> vendor during the current fiscal year. Individual orders can then be placed as needed against the blanket PO, provided that sufficient funds remain on the balance of this blanket PO.

The example cited in the "Process Guidelines" is the Public Works Dept. who acquire various construction, maintenance, and equipment supplies over a period of time as their tasks and projects demand and might use a vendor such as Home Depot for each of these purchases. This blanket requisition would be based on an estimated amount, determined by the requisition originator and not based on the quantity and unit cost of the items. It must also identify the various types or general categories of items that would likely be purchased from this blanket purchase order. As items are acquired they are charged against the remaining balance of the blanket requisition, similar to charges made against a debit card. Cancellations and change orders can be made to blanket orders as well by contacting the Purchasing and Finance Departments. Change orders are explained later in this section.

D. Receipt of Goods or Services

Once an item or service has been ordered, the City must ensure that it is received or performed exactly according to the required specifications. The responsibility for this task falls on the requesting department.

Supplies, materials and equipment, upon delivery, shall be examined by the ordering department to ensure that they are received as ordered. Deliveries will be checked by the receiving departments for damage, shortages and conformity to specifications. If any are found, they will be noted and reported to the vendor and if necessary to the Purchasing Dept. so that corrective action can be taken.

E. Payment of Goods

When a department is assured that materials received are in good order, and the invoice for those materials accurately matches the purchase order or quotation, the payment process begins. Any discrepancies between the invoice and the purchase order must be addressed and corrected in order for payment to be processed and sent to the Finance Department along with a copy of the invoice. Payment is then processed electronically by the Finance Department. Departments are encouraged to process invoices as quickly as possible in order to take advantage of early payment discounts that vendors might offer to the City and to ensure the timeliness and accuracy of financial reports. Departments are responsible for monitoring all open purchase orders for their department and communicating to the Purchasing Dept. when the purchase order can be closed. This is particularly important at fiscal year end.

F. Change Orders

Purchase orders represent a contract between the City and Vendor. No changes may be made to the purchase order without approval from the Purchasing and Finance Departments. In the event that changes are necessary, the Purchasing Dept. shall be notified so that a change order request can be evaluated and processed if required.

Change order requests are more common in construction and service contracts due to changing conditions or unforeseen circumstances beyond control of the City and Contractor. For construction contracts and service contracts, a formal change order process exists which amends the contract itself, in addition to a purchase order change order, and is explained later in this manual.

G. Purchase Order Exceptions

Due to their nature, some goods or services are exceptions to the normal purchasing cycle and do not require a purchase requisition or purchase order. These include utility bills, dues, subscriptions, travel and training expenses, petty cash, legal fees, payments to other departments and governments and professional memberships. To pay for these items, departments prepare a VRR and enter the word DIRECT on the VRR form where the purchase order number would normally be entered.

VII. EMERGENCY PURCHASES

A. Overview

As stated in this manual and the accompanying Accounts Payable/ MUNIS Purchasing Guidelines it is mandatory to establish a valid purchase order PRIOR to ordering any goods or services as the current voucher system will no longer be an acceptable means of acquisition except as noted previously. However, this section was developed to explain the criteria for establishing the existence of an emergency and the process to follow if this emergency criteria is met.

An emergency purchase is defined as any purchase necessitated by uncontrollable circumstances during a time when the normal purchasing cycle is impractical or when failure to make the purchase is threatening the lives, health or prosperity of citizens.

Failure to properly plan for routine purchases, routine maintenance or running out of stock items is not considered a basis for emergency purchases

B. Required Information

The department requesting the emergency purchase must provide at least the following information to the purchasing agent:

1. The cause and nature of the emergency and why it was unavoidable
2. The urgency of the emergency, specifically how soon this situation needs to be addressed and the consequences or implications of any further delays
3. A fully completed purchase requisition that is identified as an emergency
4. Funding source to charge and adequacy of funding
5. Determination as to whether the emergency is covered by the City's insurance policy
6. How the vendor recommended to address this emergency was chosen

C. Process Related to Categories of Estimated Expense

1. In the case of a true emergency of purchases of less than $2,500, the department can go directly to the Purchasing Agent as long as the required information in this section item "B" is provided.

2. In the case of a true emergency purchase of $2,501 to $9,999, and as long as the required information in this section item "B" is provided, the Department must attempt to acquire three informal solicitations from vendors and provide evidence of the three quotes to the Purchasing Agent. If the Department cannot get three quotes the reason must be provided to the Purchasing Agent.

3. If the true emergency purchase exceeds $10,000 the department must follow the same guidelines as in step 2 above. However, in this situation the request must be approved by the Purchasing Agent, Finance Director and the Mayor.

   Also depending upon the severity of this request, it might also need City Council review after the fact.

VIII. BIDDING, SOLICITATION FOR PROFESSIONAL SERVICES, AND QUOTATIONS

City Ordinance requires that items in excess of $10,000 must be subjected to a formal bidding procedure. Solicitation for professional services must be pursued through a formal Request for Quotation (RFQ) / Request for Proposal (RFP) process, and purchases between $2,499 and $9,999 procured by soliciting three quotations. This section explains the information required in each of these situations and the process to follow.

A. Specifications – This is the first requirement when soliciting prices whether it be through bidding, RFQ/RFP or quotations. The specification is the City's identification or explanation of the item or services being pursued. A specification may be performance based or by brand name, but in order to be successful, it must be clear and concise, be competitive and non-restrictive in order to attract a large number of bidders and it must ensure that it describes a product or service that will perform the desired function. Poorly written or confusing specifications can cause bidder nonparticipation, high costs, and no assurance that the department is getting what they need. The extent of information provided can vary from each of these categories, as the needs of each vary.

   Certain types of equipment should be physically viewed by the respective bidding department staff. For example, when purchasing vehicles it is often instructive to see the piece of equipment in action and test it when possible. This should be done in conjunction with the concurrence of the Purchasing Department as they will need to be involved.

B. Quotations – A quotation sheet to assist the user department can be provided by the Purchasing Department when needed. Quotes shall be sent to a minimum of three vendors, when the purchase is between $2,500 and $9,999. They may be faxed, e-mailed or picked up by the vendor. A clear concise specification needs to be included, along with a good estimate of the quantity needed. Local vendors should be solicited whenever possible however, West Haven's local preference does not apply in this instance.

C. Bidding – Bidding differs from soliciting quotations in a number of ways. A bid must be advertised in a newspaper, and could be in trade magazines and on the State and City website. By state statute it must be publically noticed (advertised) for at least 10 days. Bid submissions from the vendor are required to be retuned in a sealed envelope and are opened and read publically, at the date and time noticed by the advertisement.

Like quotations, bids start with clear concise specifications written by the user department and sent to the Purchasing Dept. City Departments should work with the Purchasing Dept. so that it is indicated when the item is required and other factors of importance are identified. The user department must also verify that funds for this purchase are available. Once the bid is opened it should be awarded to the lowest responsive, responsible bidder. A responsive bidder is one who has met all the obligations set forth by the bid specifications, the City proposal page completely and correctly filled out, the non-collusive affidavit and any other paperwork required is also completed. A responsible bidder is a vendor that the City determines has the ability to do the job or provide the item as per specifications and with no deviation.

D. Disqualified or Rejected Bidders and Bid Award - There are mistakes or omissions that vendors might make that would serve to have their bid disqualified. These flaws include but are not limited to; dropping their bid off late. Regardless of the reason, a late bid cannot be accepted. A bid without the required surety cannot be considered and a bid not in compliance with the States prequalification laws cannot be considered.

The remaining bids are evaluated by the user Department and the Purchasing agent. Once the lowest responsive, responsible bidder has been identified the user department will send a recommendation form to the Purchasing Dept. Purchasing will make the final award, dependent on receiving an insurance certificate in accordance with the bid documents, and a bond if required. Once these documents have been received a contract, if applicable will be sent. In all cases, a purchase order still is required to be processed.

E. Request for Proposals (RFP) – RFP's are used in seeking a professional service, or when soliciting solutions to a problem. They are similar to bids in that they are solicited through a formal competitive process, but unlike bids the lowest price is not necessarily the determining factor as price is negotiable if it is documented that a higher cost proposer is more qualified or more specifically addressed the needs identified in the RFP. In bidding, no negotiation is allowed. Typically an RFP starts with a Request for Qualifications (RFQ). The responses are then sent to a panel, (the panel is selected by the user department and the purchasing agent) who reads the responses and then rate them in order of most qualified. Qualifications, knowledge, and experience are the determining factors, as price is not part of consideration at this stage of the process. Those firms that are then chosen to be further considered for the service will be asked to respond to a formal RFP which includes the proposed price for the service. Once the responses are submitted, the committee reviews and evaluates them and will then decide to interview all candidates or a subset of proposals. At the end of the interviews the committee evaluates and scores each to select the successful respondent.

Once the successful respondent has been chosen, a fee will be negotiated. The Department will enter a requisition, and once it has been fully approved, the Purchasing Department will send a notice of award. Upon receipt of the required insurance, a contract and the purchase order will be sent to the solicited vendor. Contracts will not be sent without a purchase order to ensure that a contract doesn't get signed without the available funds.

F. Co-operative Purchasing – The Charter specifically allows piggybacking or joint purchasing on co-operative purchasing agreements that are developed by other third parties. This can be done in lieu of bidding. Among the most common co-operative joint purchasing opportunities are the State of CT Department of Administrative Services bids, South Central Regional Council of Governments (SCRCOG), Capitol Region Education Council (CREC), and other government agencies, to name a few. There are other such buying consortiums and you should check with the Purchasing Agent when pursuing this alternative.

G. Bid Waivers – The Charter allows for a bid waiver when there is an emergency defined as "a purchase necessitated by uncontrollable circumstances during a time when the normal purchasing cycle is impartial or when failure to make the purchase is hazardous to life, health or convenience of citizens." Lack of proper planning does not constitute a bid waiver. Any such request must be submitted to the Purchasing agent with appropriate documentation and then the waiver must be signed by the Finance Director and the Mayor, and presented to the City Council.

H. Sole Source Purchasing – A sole source purchase means that only one supplier (source), to the best of the requester's knowledge and belief, based upon thorough research, (i.e. conduction a market survey), is capable of providing the required product or service. Similar types of services may exist, but only one supplier, for reasons of expertise, and/or standardization, quality, compatibility with existing equipment, specifications, or availability, is the only source that is acceptable to meet a specific need.

A sole source purchase is a method of acquisition to meet certain unique conditions and guidelines and applies in the procurement of goods and services exceeding the City's solicitation and/or bid limits.

A sole source justification from the requesting department should describe the steps taken to determine that the recommended vendor is the only source available for the product or service. This type of request must first be approved by the Purchasing Agent and satisfy at least one or more of the criteria that the Purchasing Agent will identify.

IX. MISCELLANEOUS

A. Surplus Items – The Purchasing Department is also responsible for the disposal of City equipment. Surplus is defined generally as any City property that is no longer needed or no longer usable. No equipment should be disposed of until the Purchasing Agent has reviewed the request and approved the disposal in accordance with the Purchasing Ordinance.

B. Unauthorized Purchases – Except for emergencies, as defined earlier in this manual, no purchase of supplies, services or equipment shall be made without an authorized purchase order. In the event of an unauthorized purchase:

1. The purchaser can be held personally responsible for the payment
2. Invoice may be returned to the vendor unpaid.

Issued Feb. 2022

Section:	Requirement:	Current Status:
6.a	Remit to OPM $100,000 MARB Fee f FY 2021	Complete

Discussion:

Received within 2 weeks of execution of MO'

Section:	Requirement:	Current Status:
6.b and 6.c	Provide MARB fee expe .etail to City	Complete

Discussion:

Transmitted 2/8/21. Updated version transmitted 5/13.

Munis Development, Implementation and Training

Section:	Requirement:	Current Status:
7 and 7.a	By May 1, the City shall submit to OPM a revised Munis training plan based on recommendations in 2018 Blum Shapiro report. The City shall implement the plan.	Delayed Plan for Purchasing and A/P components submitted 11/12/21 Training plan for other modules pending **January Update** Tasks within the Plan for Purchasing and A/P training are in implementation

Discussion:

This requirement originated from the 2018 Blum Shapiro report that recommended the City make greater use of Munis to automate financial processes.

The implementation of this requirement revealed that the City lacked formal, uniform policies and procedures that would form the basis of many workflow and business rules in Munis. These policies and procedures would first need to be developed and then implemented in the Munis system.

Delays in fulfilling this requirement were numerous, due in part to vacancies and the demands of ADP project.

The detailed plan for Purchasing and Accounts payable, which was developed and submitted for review in November 2021, is in the implementation phase. Detailed updates on specific tasks are provided in the Action Plan status report.

Plans for training on other Munis modules will still need to be developed and implemented.

FY 2019 Audit Findings: Corrective Action Plan		
Section:	**Requirement**:	**Current Status**:
8 and 8.a	By April 20, the City and Board of Education shall complete implementation of all corrective actions addressing FY 2019 audit findings. Monthly updates are to be provided to the MARB Subcommittee.	Pending verification of items reported as closed by City. Several items remain open as reported by the City. Plan for findings related to Purchasing submitted 11/12/21 **January Update** Purchasing and A/P manual developed by staff/consultant to address purchasing deficiencies as part of action plan Pension investment related findings remain open (as self-reported by City)

Discussion:

Written reports on FY 2019 findings not provided consistently through year. Verbal updates frequently. Verification of closed items is pending (upcoming FY 2021 audit).

Latest status update (Dec. 2021) shows three remaining open items. January 2022 update pending.

Purchasing Action Plan submitted on 11/12/21 addresses items #4 on status report.

FY 2020 Audit Findings: Corrective Action Plan		
Section:	**Requirement**:	**Current Status**:
9.a and 9.b	By April 20, the City shall submit to OPM a corrective action plan to address FY 2020 audit findings. The City shall implement the plan and include funding necessary for closing findings in its FY 2022 budget.	Pending verification of items reported as closed. Several items remain open as reported by the City. Plan for findings related to Purchasing submitted 11/12/21 **January Update:** Purchasing and A/P manual developed by staff and consultant to address purchasing deficiencies as part of action plan

		Pension investment related findings remain open (as self-reported by City)

Discussion:

Corrective action plan was originally submitted for April 2021 Subcommittee meeting. Monthly reporting has been provided inconsistently.

FY 2022 budget included funding for restructuring of Finance Department.

Closed items pending verification (in upcoming FY 2021 audit). Current status report (Jan. 2022) shows three items remaining open

Purchasing Action Plan submitted on 11/12/21 addresses items #3 and #6 on status report.

Human Resources Consultant Report Findings

Section:	**Requirement:**	**Current Status:**
10.a and 10.b	By April 1, the City shall submit to OPM for approval a revised Human Resources (Personnel Department) Action Plan to address the findings in the Nov. 2019 HR Consulting Group report. The plan shall include milestone dates and responsible parties assigned to specific tasks. Monthly status reports are to be provided, and the FY 2022 budget shall include any funding necessary to implement the revised plan.	Delayed **January Update:** Draft of HR Action Plan prepared and to be presented to Subcommittee January 2022.

Discussion:

Prior to hiring of new Personnel Director, City delayed in preparing a detailed action plan addressing the findings of the HR Consultant study. The new Personnel Director has taken on task of developing detailed action plan. Draft action plan addressing all items in HR Consultant report has been prepared and will be provided at January 2022 Subcommittee meeting. Part of process for new Director was to validate certain items previously reported by the City verbally as completed. These are noted as "Completed and Reviewed" in draft action plan. Draft plan, to be finalized prior to February meeting, identifies at least one additional position as needed in the Personnel Department.

Information Technology

Section:	**Requirement:**	**Current Status:**
11.a and 11.b	By May 1, the City shall submit to OPM for approval an Information Technology Security Action Plan to address a 2020 review of IT controls. The plan shall be implemented and the FY 2022 shall include any funding needed for implementation. After concern expressed by City about documenting potentially sensitive information, OPM advised City to prepare summary plan referencing recommendations in study, steps to be taken and resources needed	Delayed **January Update:** Draft IT Plan provided to Subcommittee in Dec. 2021. Revised plan based on feedback to be provided for Subcommittee January 2022 meeting.

Discussion:
Exhibit attached to 10/22/21 correspondence. Detailed action plan to address findings from Blum Shapiro assessment prepared and in implementation phase. Detailed updates on specific tasks are provided in the Action Plan status report.

Adequate Staffing of Finance and Procurement		
Section:	**Requirement**:	**Current Status**:
12	The City shall ensure that sufficient staffing and resources are in place to address FY 2019 audit findings regarding the procurement function and for efficient operation and management of the Finance Department.	Open **January Update:** Plan for staffing of Purchasing Office developed by Finance Dept. Positions posted. City Council declined to take action at two most recent meetings. Recruitment is proceeding while Council action is still pending. Plan for changes to staffing of Finance Office pending.
Discussion: Procurement Manager position created in FY '21 budget. Position filled in Jan. 2021, but currently vacant. Position to be modified to Purchasing Specialist. Additional position of Procurement Director to be created. Accounts Payable position vacant since end of June recently filled with in-house staff person. Created vacancy in Jr. Accountant position which has been posted. Finance Director to re-assess staffing needs of Department and make recommendations. Action plan specific to staffing issues (vacant positions, restructured positions, new positions) needs to be developed and reported out monthly with other action plans.		

Fire Districts		
Section:	**Requirement**:	**Current Status**:
13.a and 13.b	The City shall coordinate the preparation of a 3-Year Fire Districts Plan by 5/30, including projected revenues, expenditures and mill rates. Quarterly updates on the status of the creation of the Tri-District Commission and plan development are to be provided.	In compliance (ongoing)
Discussion: Tri-District Commission created		

3-Year Financial Plans developed Written status reports provided in May, July, October; presentations at the July and October Subcommittee meetings Follow-up on numerous elements to continue

2020 Revaluation		
Section:	**Requirement**:	**Current Status**:
14	By April 1, the City shall provide an update on the preliminary results of the revaluation.	Completed
Discussion:		
Results of 2020 revaluation presented to Subcommittee at March meeting		

FY 2021 Budget Assumptions		
Section:	**Requirement**:	**Current Status**:
15	By April 1, the City shall submit to OPM an update comparing the assumptions used in the FY 2021 budget to actual revenues and expenditures	Completed
Discussion:		
Relevant comparative data included in proposed FY 2022 budget document		

Sale of City Property		
Section:	**Requirement**:	**Current Status**:
16	By April 1, the City shall submit to OPM written recommendations regarding proposed future proceeds from the sales of City property.	Ongoing
Discussion:		
Draft policy prepared in 2019; No property sales proposed in FY 2022 budget		

FY 2022 Budget		
Section:	**Requirement**:	**Current Status**:
17.a – 17.e	The City shall submit its proposed budget for FY 2022 by March 18. Proposal to include detailed assumptions regarding school enrollment projections, tuition projections and various education related grants and expenditures. Budget data from the	Complete

	independent fire districts was also required. The MOA also required certain procedural steps to ensure that the City Council adopted a budget that was responsive to MARB feedback.	

Discussion:

Proposed budget submitted on time

Certain supporting data regarding schools was not provided with the submitted budget and needed to be requested during the review process

The budget ultimately adopted was consistent with MARB guidance and input

5-Year Plan

Section:	**Requirement**:	**Current Status**:
18.a – 18.f	The City shall submit an updated 5-Year Plan with the proposed FY 2022 budget.	Complete

Discussion:

The 5-Year Plan was submitted after the submittal of the proposed FY 2022 budget

Certain supporting data was not provided with the original submittal and needed to be requested during the review process

The 5-Year Plan ultimately approved by the MARB was consistent with MARB guidance and input and was approved by the City Council

Note: The deadlines shown in the above table reflect the revised timelines requested by the City in its April 1 status report.