

CITY OF HARTFORD, CONNECTICUT



CAPITAL IMPROVEMENT PLAN POLICIES & PROCEDURES

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I. INTRODUCTION TO THE CAPITAL IMPROVEMENT PLAN

The Capital Improvement Plan (“CIP”) is a five-year blueprint for planning the City of Hartford’s (“City”) physical capital improvements to public facilities and infrastructure. The CIP outlines the capital expenditures, financial capacity, and physical development activities of the City and, as a result, it is one of the most important responsibilities of local government officials.

A comprehensive CIP shall achieve the following:

- Improve public facilities and infrastructure throughout the City in a systematic, structured manner
- Improve the safety, mobility and the quality of life of the residents of Hartford
- Reflect the current economic environment and changing needs of residents
- Reinforce the City’s financial practices to enhance or maintain credit ratings, thereby minimizing interest costs in financing capital improvements
- Provide estimates of current and anticipated capital improvement needs in the current fiscal year and through the next five years

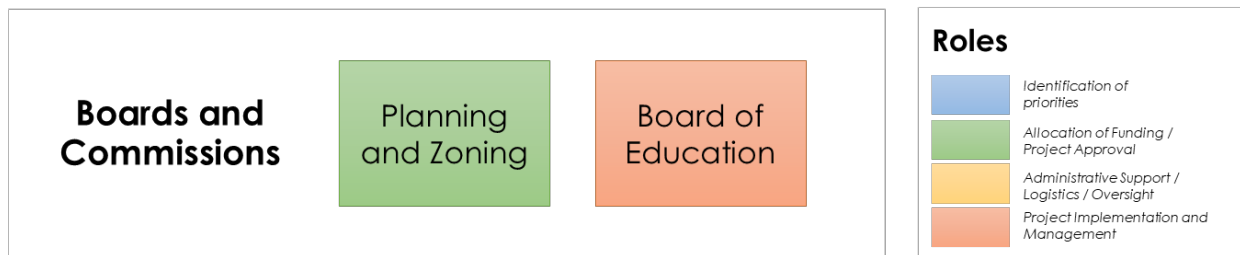
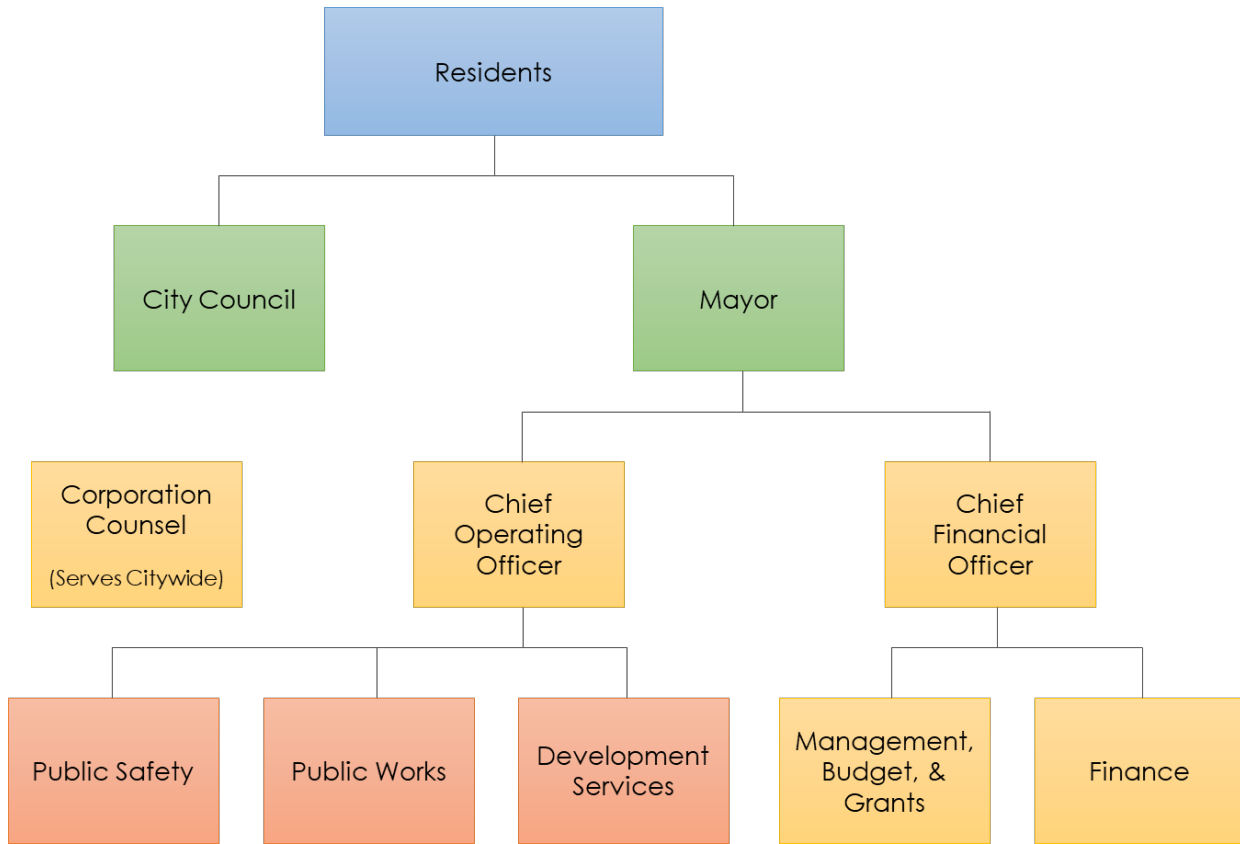
The CIP provides a means of coordinating and centralizing the capital project requests of various units and agencies, thus eliminating wasteful overlap, duplication and delay. It focuses attention on the City’s goals and financial capability by comprehensively considering not only what capital projects the City needs but, equally as important, what it can afford. Additionally, the formalized process encourages public discussion of proposed undertakings, offering residents the opportunity to provide input and recommendations for proposed projects and expenditures.

The CIP is developed through a collaborative process involving citizen participation and community groups, boards and commissions, City technical staff and elected officials. City technical staff works with residents and officials to develop a long-term plan for capital needs for the residents of Hartford. The CIP is then reviewed by the Planning and Zoning Commission, submitted to the Mayor and finally approved by the Court of Common Council (“City Council”). This blend of unique perspectives promotes a plan which is both broad in community perspective and sound in technical expertise, and this guide will further detail the development and implementation of the CIP process.

*For a consolidated list of definitions and documents referenced throughout this guide, see the Appendices.

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CIP Organizational Hierarchy



II. CAPITAL IMPROVEMENT PROGRAM AND BUDGET

A. CIP Background

The CIP is a five-year plan composed of two parts -- a Capital Budget ("Budget") and a Capital Program ("Program"). The Budget is a component adopted by Council in the ensuing fiscal year, and it outlines budgeted expenditures on capital improvement projects. The Program is a plan for capital expenditures that extends years two through five of the CIP.

The CIP must be annually reviewed and revised to ensure that it continues to meet the City's current and anticipated capital improvement needs. This annual review ensures the CIP's effectiveness as a flexible, mid-range strategic plan that links the annual budget with the more static long-term Plan of Conservation and Development (Master Plan).

B. Development of CIP Projects

1. Identifying Needs

To identify its present and future capital needs, the City should regularly: (1) conduct needs' assessments to develop and prioritize departmental requests, (2) develop master plans, (3) analyze the cost impact of renovating/repairing versus replacing/building-new, and (4) develop financial projections, other strategic plans, and citizen input processes. The City may use third-party consultants to assist in the development of a capital needs assessment based on different asset classes. In addition, a detailed timeline and prioritization of the future capital improvement projects should be included.

This will include, but is not limited to, attention to the following items:

- a. Capital assets that require improvements, or replacement that, if not addressed, will result in higher costs in future years.
- b. Infrastructure needed to improve existing neighborhoods, support redevelopment, or new development.
- c. Improvements that contribute to community and economic development that follow CIP specifications of useful life and value.

Projects should be prioritized based on need and should include a timeline with detail by project phase (i.e., design, construction, etc.).

Given the multi-year nature of the CIP, the existing capital needs assessment should be reviewed and updated annually to include the current status and timeline of each project and to remove completed projects.

2. Project Eligibility

All proposed projects must meet eligibility criteria to be considered for submission in the Mayor's Recommended Budget. The overarching purpose is to ensure that the City's limited resources will be utilized for Capital Improvement Projects that will provide lasting benefits to the City's residents and business community.

a. Eligibility Requirements

- i. Projects must require a *non-recurring* expenditure of funds in excess of \$100,000 and equipment in excess of \$50,000 with a useful life of no less than 5 years.
- ii. Projects must result in a major, permanent public use improvement or expansion.

b. Proposal Requirements

- i. Each year, the Mayor and COO will develop a set of strategic priorities for the following year's Capital Budget, based on the City's adopted Plan of Conservation and Development. The COO's office will distribute this set of strategic priorities to Department Heads to assist in the preparation of their proposals. Sample priority areas include (but are not limited to):
 - 1) Public Health and Safety;
 - 2) Legal requirements, mandates, or agreements with other jurisdictions or entities;
 - 3) Preservation and/or improvement of municipal facilities and infrastructure; and
 - 4) Economic development, revitalization and infrastructure improvements.

c. Technical Considerations

It is recommended that departments consider the following when preparing their proposals.

- i. Projects should reduce costs of operation and not increase recurring expenditures.
- ii. Projects replacing or reconstructing obsolete or deteriorating elements of the City's physical infrastructure will be given priority over those requiring new facilities.
- iii. Projects should be more efficient (e.g., result in lower consumption and reduced utility costs).

3. Determining Costs

The full extent of project costs will be determined when developing the multi-year CIP. Cost issues to consider include the following:

- a. The scope, phasing, and necessary contingencies of a planned project should be well defined in the early stages of the planning process.
- b. Costs and potential revenues should be estimated by using an engineer's estimate and/or third-party assessments.
- c. For projects that extend beyond the current year, cost projections should be based on anticipated inflation rate using the current Consumer Price Index percentage or other method as deemed appropriate by the City.

Each project proposal should identify the sources of funding for those costs. Proposals should also include a clear estimate of any necessary land acquisition needs as well as design, construction, contingency and post-construction costs.

4. Determining Project Priority

a. City Priority Classification

The City is continually faced with extensive capital needs and limited financial resources. Therefore, prioritizing capital project requests is a critical step in the capital plan preparation process. The City must run a process to evaluate project submittals from various City departments. When evaluating project submittals, the City will:

- i. Consider the relationship of project submittals to financial and governing policies, plans, and studies.
- ii. Request the submitting department to provide an initial prioritization for each department's projects.
- iii. Consider any involvement from major stakeholders and the general public in the project development process.
- iv. Adhere to legal requirements and/or mandates.
- v. Re-evaluate capital projects approved in previous multi-year capital plans.
- vi. Use a rating system to facilitate decision-making.

b. Department Priority Classification

Department submitted projects should be ranked using the following priority classification categories:

- i. **Mandatory** - Refers to the protection of life, the maintenance of public health and safety, the actions necessary to avoid potential legal liability, and/or the legal requirements mandated by City, State or Federal laws/executive orders/administrative procedures.

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- ii. **Improvements** - Refers to a continuation of public services, the conservation of resources, or the finishing of partially completed projects.
- iii. **Redevelopment** - Refers to the remodel or replacement of community facilities.
- iv. **New Service** - Refers to the expansion of the public facilities service area of the City, or the provision of new public services.

5. Departmental Capital Improvement Project Requests

Capital improvement projects are initiated by the various departments within the City. The primary departments initiating capital improvement projects include the Department of Public Works, the Department of Public Safety, the Department of Development Services and the Board of Education. Each department will prepare a summary of all current year CIP projects listed in order of priority determination.

In addition to the requirements and considerations identified in the Project Eligibility Section B-2, departments must complete and submit a CIP Project Justification Form (CPJ) (See Appendix C) during the budget cycle. All forms should be submitted to the Director of Operations or its designee. The CPJ should include the following information:

a. General Information:

- i. Name and Priority Number;
- ii. Project status (new or existing);
- iii. Actual expenditures to date, if an already existing project; and
- iv. Open encumbrances to date, if an already existing project.

b. Project Location:

- i. Nature and location of the project and indicate whether the project is to create, improve, or replace existing facilities, equipment, land, or another asset type.

c. Project Justification:

- i. Indicate the need for the project and what it is expected to accomplish;
- ii. Estimate projected capital costs and funding sources;
- iii. Describe current and projected operational and maintenance costs; and
- iv. Describe the project's relationship to the City's ten-year Plan of Conservation and Development.

6. Capital Plan Funding/Financing Strategies

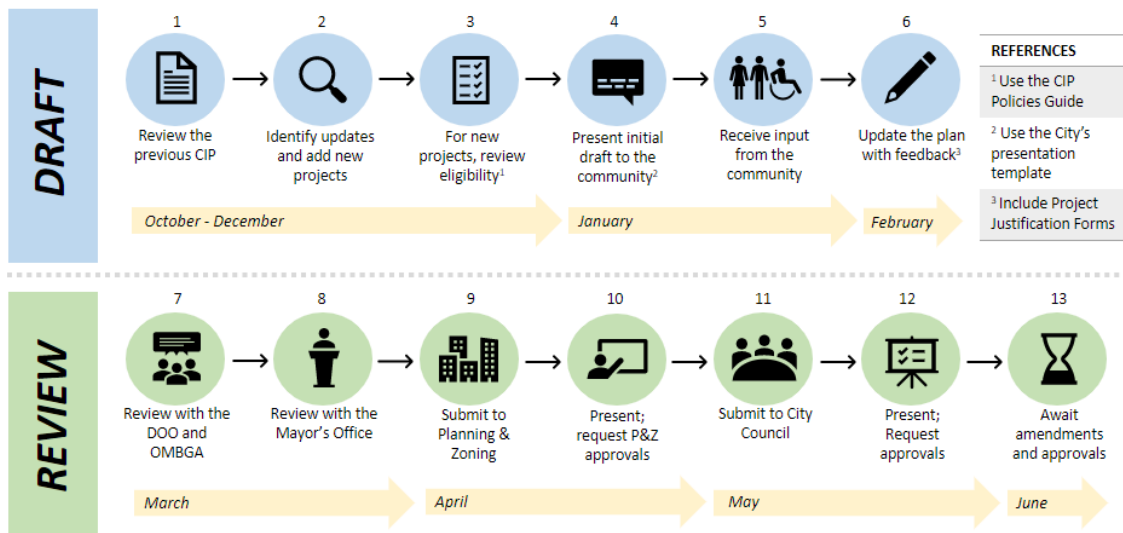
The City recognizes the importance of establishing a viable financing approach for supporting the multi-year CIP. Financing strategies will be aligned with expected project requirements while sustaining the financial health of the City. The City will consider the following when developing the capital financing plan:

- i. Ability and authority to issue General Obligation (GO) Bonds.
- ii. Expected revenue and expenditure trends, including their relationship to multi-year financial plans.
- iii. Cash flow projections of the amount and timing of the capital financing.
- iv. Compliance with all established financial policies.
- v. Legal constraints.
- vi. Estimated funding amounts from all appropriate funding sources.
- vii. Reliability and stability of identified funding sources, including grants.
- viii. Evaluation of the affordability of the financing strategy, including the impact on debt ratios, taxpayers, ratepayers, and others.

Debt-related financing will be determined in accordance with the City's debt policy.

C. Capital Improvement Plan Schedule

<u>Timetable</u>	<u>Step</u>
October - December	Departments review the existing capital needs assessment and update as needed.
January	An initial public workshop outlining the CIP process and potential projects is presented to the community (Residents / Elected Officials / Planning & Zoning Commission).
February - March	Departments incorporate public feedback and submit final project requests to the Director of Operations and the Office of Management, Budget and Grants Administration. The DOO and OMBGA review submittals and organize the requests into a draft CIP for the Mayor's review.
April	A draft CIP is submitted to the Planning and Zoning Commission and a public workshop is held by the Commission.
May	City and School projects are presented by the Mayor to the City Council. A public hearing on the CIP is held.
May - June	City Council reviews and amends the CIP. City Council approves and adopts related funding ordinances.
July - Ongoing	Beginning of fiscal year; monitoring of new and ongoing projects.



D. Capital Improvement Plan Presentation

The Director of Operations or its designee, reviews submittals of all departments' project requests and organizes these requests into a draft Budget and Program for the Mayor's review. Upon approval by the Mayor, the draft Budget is submitted to the Planning and Zoning Commission and a public workshop is held by the Commission.

The revised final proposed Budget and Program will be presented in a distinct section of the budget document. The information presented should show a direct link between the annual proposed budget and the multi-year capital improvement program. By including this information within the same or adjacent section of the document, it is easier for the reader to follow that relationship.

Adopted Capital Improvement Program Project Detail by Functional Category:

1. **Project Description**
2. **Financial Summary** - The Financial Summary will present both the capital expenditures and the sources of revenue (funding) that will be used to finance the Budget for the upcoming fiscal year, as well as a summary table for the five-year Program.
3. **Calendar** - The CIP Presentation will include a calendar showing key dates in the capital process along with text describing the process.
4. **CIP Functional Categories** - The Program should be organized into functional categories in the presentation of information. The functional categories are outlined below:
 - a. Municipal Facilities (buildings, parks, etc.)
 - b. Basic Infrastructure (milling and paving, bridges, flood control, etc.)
 - c. Mobility Enhancements (traffic signals, street striping, streetscape improvements, etc.)

E. CIP Accounting, Monitoring and Reporting

1. Authorization for Expenditures and Financing

The legal authority to expend funds begins when a project authorization is formally approved by the City Council as part of the City's Budget or approved as a separate project through the project authorization process as set by the City Charter. Therefore, expenditures should not be incurred for any capital project until the formal approval occurs.

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It should also be noted that the project authorization is independent of the financing of the project. The project authorization is the total amount that is authorized to be spent on the project, regardless of the funding sources. The project authorization is the amount that is considered the project budget and the amount that spending should be monitored against the annual approved budget.

2. Capital Project Account Creation

After Council approval of the CIP annual budget, the capital project accountant ("Project Accountant") will add the appropriate projects in the Project Master module of the Munis accounting software program ("Munis") following the CIP Fund guidelines below. The naming convention of each project should align with the same name as found in the annual adopted budget, general ledger and other project schedules.

a. Funds - Depending on the nature of the project, the project will be included in at least one of the following three CIP funds:

i. **Fund 4029** - All grant / other non-city-funded projects.

1) These projects typically require City Council authorization obtained through regularly scheduled Council meetings rather than during the CIP annual budget process. Departments should follow the standard process for submitting resolutions to the Mayor's Office. See Appendix D for a sample resolution.

2) Projects also require signed copies of grant commitment letters, Project Authorization Letters ("PAL"), or other written agreements when applicable.

3) Departments will submit the signed City Council authorizations and signed grant commitment letters and/or PAL agreements to the Central Grants department for project setup in the Project Master.

ii. **Fund 4030** - All school construction projects - See III. School Construction for additional process.

iii. **Fund 4031** - All City-managed bond-funded or general fund-funded projects.

1) These projects receive City Council authorization during the CIP annual budget process and are set up in the Project Master by the Project Accountant.

b. Project Account Codes - Once the projects have been created in the Project Master, the Project Accountant then builds the project account codes using the general ledger organization codes (based on the fund, department responsible for the project and nature of the project), and object codes (expenditure and revenue/funding source accounts) for all new CIP authorizations. There may be instances where a project will have account codes under both Fund 4029 and Fund 4031. For example, if a project is 90% grant funded with a 10% City match, the project would be

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added to the Project Master and the organization codes would be used for both Fund 4029 (for 90%) and Fund 4031 (for 10%).

- i. **Organization Codes** - These codes are selected by the Project Accountant using a combination of the fund in which the project is housed, the department responsible for the project and the nature of the project.
- c. **Object Codes** - The Project Accountant will add standard object codes to each project account. If additional expense codes are needed, the department and Financial Analyst may request these additions be made by the Project Accountant via e-mail notification.
 - i. **Expenditure Accounts (Object codes)**
 - 1) "Council authorized" (500000) represents the total project authorization (multi-year).
 - 2) "Authorized spend" (500001) represents the total project authorization (one-year).
 - 3) Additional expense codes are added depending on the needs of the project. Examples include Architecture, Construction, FF&E, etc.In any given year where the entire authorized budget is made available to the department, expense codes will be set up as described in Items #2 and #3 above.
 - ii. **Revenue/Funding Source Accounts**
 - 1) Bonds Authorized
 - 2) Grant Authorized - Name of funding source should be included
 - 3) Operating Transfer In

The following items 3 through 10 below pertain to projects other than School Construction Projects. See Part III for steps specific to School Construction Projects

3. Financial Tracking and Management

Once the budget has been approved by Council, departments are responsible for implementing projects and tracking spending. Each department should maintain up-to-date, thorough records of budget drawdowns. Projects shall not exceed their approved fiscal year budget spend ceiling. Should the spend ceiling be met, the department may need to wait the following budget year to receive additional funding. Immediately contact the DOO, Finance, and OMBGA if there are any concerns of exceeding the authorized budget.

4. Contract Procurement

- a. Each department is responsible for its respective contract procurement and should follow the separate procurement policies of the City. A Capital Improvement Project Routing Table form must be completed with all appropriate approval sign offs, electronically and manually where

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necessary. This form should accompany the construction/vendor contract.

- b. Departments must follow the standard accounts payable process as outlined in the desk procedures for accounts payable.

5. Project Accounting

Ongoing project accounting is a joint effort involving the Project Manager, the Department Fiscal Manager, and Finance Project Accountant. Invoices are required to be coded and entered by project account number. The Project Accountant will review the account charged for proper account distribution.

Certain soft costs may be allowed to be charged to projects depending on the funding source. Refer to the original funding source requirements to determine eligible soft costs. Payroll costs that can be charged include both salary and fringe benefits. Examples of some positions whereby a portion of their time may be allocated and charged to projects include the Capital Project Accountant, Public Works Employees and Engineers/Architects. For projects funded by bond proceeds, payroll charged to a project will be limited to 5% of the total bond issue, as allowed by bond resolution or State Statutes (CGS 7-369).

6. Project Reports

Producing project status reports will help officials make informed decisions regarding scheduling and cost. In establishing report content and frequency, it is important to keep in mind that high profile projects often require more extensive reporting of activity compared to the City's more routine capital projects. Reports will be consistent and use plain language when compiling information from various sources and reporting it to multiple stakeholders.

Reports will be consistent and use plain language when reporting to multiple stakeholders such as executive leadership, internal staff, the general public, and the media.

The types of reports may include the comparison of actual results to the project plan across metrics such as:

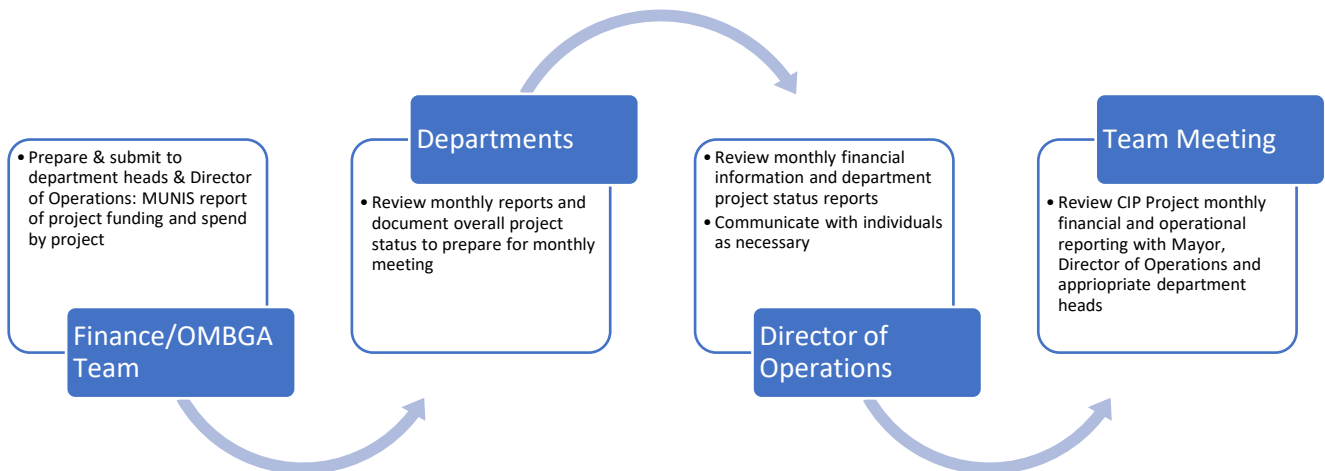
- a. Percent of project completed
- b. Percent of project budget expended
- c. Progress on key project milestones
- d. Contract status information
- e. Revenue and expenditure activity
- f. Cash flow and investment maturities
- g. Funding commitments
- h. Available appropriation
- i. Highlights of significant changes to project scope or costs

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Currently, all active CIP projects are documented and compiled by OMBGA Financial Analyst into a single database spreadsheet using the YTD Project Budget Report and YTD Budget report from Munis with details including the lead department, total project authorization, total project costs life to date and total project costs fiscal year to date. Also, included in this spreadsheet is the project start date, end date and notes regarding the project status obtained from the lead department.

The responsibility of the financial status of each project is that of the Mayor, Director of Operations and the department head(s) managing the project. Therefore, it is critical for each of the departments to obtain feedback from their respective in-house Department Fiscal Managers monthly financial project status information to review. In addition, the department head responsible for each project should provide the Director of Operations with the overall project status each month.

The schedule for monthly reporting is as follows:



7. Project Monitoring

a. Legal

For each project, we will identify and incorporate legal and fiduciary requirements into capital monitoring and reporting. These may include:

- i. Arbitrage regulations, bond covenants, and/or bond referenda requirements related to long-term debt
- ii. State and local laws including such areas as debt capacity limits and voter authorization
- iii. The relationship between each project and the jurisdiction's planning processes including specific plans and master plans

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b. Accounting

We will ensure our monitoring procedure include the following:

- i. Adherence to auditing and financial reporting consistent with generally accepted accounting principles, City policies and grant requirements
- ii. Adherence to City bidding and reporting requirements
- iii. Compliance with Capital project contract language and the City's contracting practices
- iv. Compliance with Federal and State regulations including the Davis Bacon Act and prevailing wage requirements

8. Project Funding

a. City Funded

i. Bond-Funded

In the past, the City utilized general obligation bonds to support capital improvement projects. However, under Hartford's current Municipal Recovery Plan, the City does not intend to issue new debt. Projects will be funded through general revenues, grants, state reimbursements, and other external funding. Below describes how existing proceeds may generate additional interest, and the policies for using that interest.

The CIP Funds are part of the City's Pool Cash. The plan is to keep minimum cash or no cash in Pool for CIP. Cash (if any excess) from prefunding of projects from the General Fund should be invested in Money Market and/or Short Term Investment Fund ("STIF") to earn interest. There are no restrictions on the amount of interest/interest rate that can be earned on investments prefunded from the General Fund; however, interest earned/interest rate on bond proceeds should not exceed the interest rate at which the funds were borrowed. The City's Treasury Department ("Treasury") will ensure that bond proceeds when invested are invested at a lower interest yield than the borrowing rate.

As of July 1, 2020, interest earned in CIP Funds will no longer be transferred to the General Fund. The interest income from Money Market and STIF can be used to fund existing CIP projects.

When the City is ready to issue bonds again, a separate Money Market Account will be opened for each Bond Sale so that the Bond Sale can be differentiated by the Investment Accounts. Note that cash from Bond Sales will only be invested in Money Market (no Bond Proceeds will be invested in STIF). Interest earned on investment from Bond Proceeds can also be used to fund CIP projects; however, Bond Counsel would need to draft a resolution authorizing the use of the interest to fund a CIP project and City Council will need approve it.

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ii. **General Fund Funded**

Projects that are supported from general funds are typically funded on a quarterly basis by analyzing the project balance (revenue over expense) to determine how much revenue/funding is needed. At year end, all City Funded projects should have a zero project balance, meaning all expenses incurred have been funded. At the Mayor's discretion, some projects may be prefunded, meaning they receive excess revenue at the end of the fiscal year to be used in following years.

Projects should not receive more revenue than the overall project authorization amount. A special "CIP Reserve" project has been set up in Fund 4030 and Fund 4031 to house any General Fund contributions that are not needed in the current fiscal year. This revenue can be transferred from the CIP Reserve project to any CIP project requiring additional revenue with the CFO/OMBGA Director's approval.

b. **Grant Funded**

i. **Local Capital Improvement Program (LoCIP)** - a State funding source that distributes entitlement funds to municipalities to reimburse the cost of eligible local capital improvement projects.

- 1) The Project Accountant will populate the reimbursement request and complete/route the request using the CIP Routing Table (see Appendix F) for the Mayor's signature. Once the reimbursement request has been signed by the Mayor, the Project Accountant will submit to LoCIP on a monthly basis. See Appendix G for a sample of the reimbursement request.
- 2) The Project Accountant is responsible for recording revenue as the wires are received. The Management Analyst, Department Fiscal Manager, and the DOO are to be notified when the wires are received.

ii. **School Construction** - see School Construction Section III for the school construction process.

iii. **Department of Economic and Community Development (DECD)** - a State funding source that funds a variety of different eligible projects, some of which may fall under capital improvement.

- 1) The Project Accountant will populate the reimbursement request and print copies of all invoices and checks related to the request. The Project Accountant will advise the Project Manager and the Department Fiscal Manager that the reimbursement request requires the Department Head's signature. The Project Manager is responsible for routing the reimbursement request for signature and returning the original back to the Project Accountant and will notify the Department Fiscal Manager. The Project Accountant will then submit to DECD on a quarterly basis.

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- 2) The Project Accountant is responsible for recording revenue as the wires are received. The Management Analyst, Department Fiscal Manager, the Director of Operations and the Project Manager are to be notified when the wires are received.
- iv. **Department of Transportation (DOT)** - a State funding source that funds a variety of eligible projects, most of which fall under capital improvement.
- 1) The Project Manager is responsible for populating the reimbursement request and printing copies of all invoices and checks required by the grantor. The Project Manager will route the request for any signatures needed and will submit the reimbursement request to the grantor with the Project Accountant, Department Fiscal Manager, Management Analyst and Director of Operations on copy.
 - 2) The Project Accountant is responsible for recording revenue as the wires are received. The Management Analyst, Department Fiscal Manager, the Director of Operations and the Project Manager are to be notified when the wires are received.
- v. **All other grantors**
- 1) The Project Manager is responsible for populating the reimbursement request and printing copies of all invoices and checks required by the grantor. The Project Manager will route the request for any signatures needed and will submit the reimbursement request to the grantor with the Project Accountant, Department Fiscal Manager, Management Analyst and Director of Operations on copy.
 - 2) The Project Accountant is responsible for recording revenue as the wires are received. The Management Analyst, Department Fiscal Manager, the Director of Operations and the Project Manager are to be notified when the wires are received.

9. Change Orders

All change orders must be approved initially by the department responsible for managing the project and then by the Mayor. If there are change orders that cause project expenditures to be over project authorization (budget), approval from the City Council must be obtained prior to approving the change order. City Council approval is obtained through regularly scheduled City Council meetings. Departments should follow the standard process for submitting resolutions to the Mayor's office. See Appendix D for a sample resolution.

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a. City CIP Projects

- i. Project Manager will receive the change order from vendor.
- ii. Department ensures change order is within the available budget and approved cash spend for the fiscal year.
- iii. Department starts change order routing process. See Appendix E for a sample Change Order Cover Memo. The Project Accountant confirms that the correct General Ledger ("GL") org, object, and project codes are being used and verifies that the change order is within the project's available approved cash spend for the fiscal year.
- iv. Once the Project Accountant has reviewed the change order, it is then routed to the Financial Analyst for review and for CFO/OMBGA Director's signature.
- v. Change order is then entered in Munis by Procurement once approved by Finance by changing the value of the existing purchase order.
- vi. Procurement is responsible for notifying the department that the change order has been entered.

b. School Construction Projects (see Section III for school construction process)

10. Project Life/Close Out

a. Requirements for Closing Projects - if the project has at least one of the requirements listed below, it can be closed following the Close Out steps in Section b. below:

- i. The project has been fully spent so there are no additional authorizations or encumbrances in the project. The full Council authorization has been spent. Also, the project has been fully funded so that the project balance (revenue over expense) is zero.
- ii. Per the Charter, if the project does not have any project related expenditures (administrative costs are not considered project expenditures) within three (3) years, the project must be reapproved by City Council.
- iii. Per the Charter, if the purpose of the project has been accomplished or abandoned. The lead department is responsible for notifying the Financial Analyst and the Project Accountant if a project purpose has been accomplished or abandoned.

b. Steps for Closing Projects - Once a project has been determined to be closed, ensure that actions are taken to finalize project activity including, at minimum:

- i. Confirming that the project is closed out or made inactive appropriately within all systems used to manage, monitor and report on the project. This includes Munis Project Master and Munis Account Master/Inquiry.

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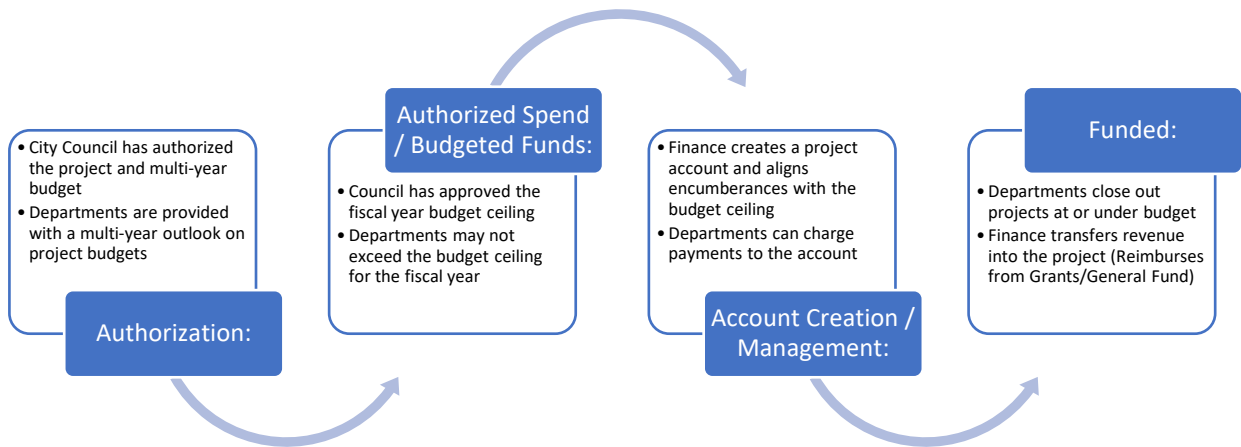
- ii. Confirming that the established procedures for user acceptance of project work and final project completion have been followed.
- iii. Confirming that any new assets are properly recorded by communicating with the Project Accountant.

c. Unspent project balances - Unspent project balances should be formally addressed to complete the close out process.

Unspent fund project balances will be closed via one of the following methods as recommended by the CFO/OMGBA Director:

- i. Per an agreement with the Bond Commission, unspent bond proceeds will be transferred to other projects with expenses incurred within three (3) years of the bond issuance.
- ii. Other balances created by revenues other than bond proceeds will be transferred to other projects requiring revenue or moved to the CIP Reserve project.

d. Project budgeted balances will be re-appropriated or transferred to another project as necessary with approval of the City Council.

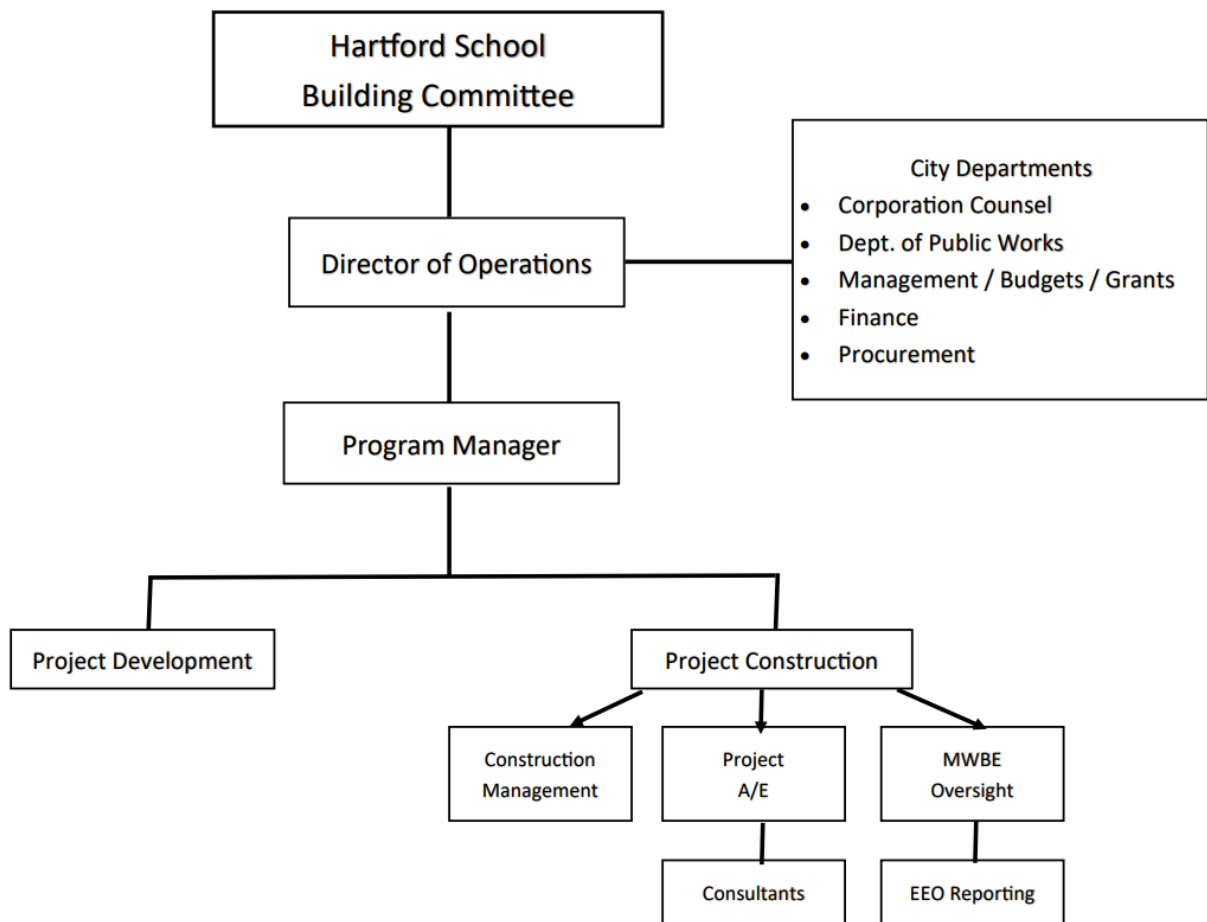


III. SCHOOL CONSTRUCTION

This section is intended to provide parties involved with school construction projects with information regarding the general roles and responsibilities of the various stakeholders and partners involved in the design and construction process.

A. Organizational Chart

The organizational chart below depicts the relationships between the different parties involved in school construction projects.



B. Hartford School Building Committee (HSBC) - Roles and Responsibilities

1. **Responsible for the management of all school construction projects in the City of Hartford in accordance with Special Act No. 01-7.**

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2. **Delegates administrative tasks to the following working groups:**
 - a. Selection Committee
 - b. Bid Review Committee
 - c. Change Order Committee
3. **Selects and provides oversight of architects, engineers, consultants, program managers, construction managers and other entities which are needed to manage design, construction and commission school facilities as recommended by Selection Committee.**
4. **Awards contracts for goods and services as recommended by Bid Review Committee.**
5. **Reviews and approves plans and specifications for school construction projects.**
6. **Establishes standard practices and procedures for school construction projects in the City of Hartford.**
7. **Monitors and approves project scope, schedules, and budgets.**
8. **Authorizes changes in contracts as needed by Change Order Committee.**
9. **Monitors and approves construction change orders as recommended by Change Order Committee.**
10. **Accepts project work as complete and authorizes the submission of final project documents to the Office of School Construction Grants & Review (“OSCGR”).**
11. **Establishes yearly meeting schedules and procedures for special meetings as needed.**

C. Current Working Groups Supporting the HSBC

1. **Selection Committees**
 - a. Called by the HSBC Chair to assist in the Evaluation of Qualifications and Proposals from Program Manager, Architects, and Construction Managers.
 - b. Makes recommendations for award of contracts to the HSBC.
 - c. Membership varies by project and at discretion of Chair.

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2. **Bid Review Committee**

- a. Reviews and approves (or recommends for HSBC approval as authorized by the HSBC) proposals from consultants, suppliers, or construction bidders.
- b. Membership as of June 2021 includes HSBC Chair, Executive Director of Facilities, Department of Public Works Representative. Director of Operations serves as an Alternate Member.

3. **Change Order Committee**

- a. Reviews and approves change orders not otherwise authorized for Program Manager approval.
- b. Notifies HSBC of all change orders so approved for the project record and HSBC endorsement.
- c. Membership as of June 2021 includes HSBC Chair, Executive Director of Facilities, Department of Public Works Representative. Director of Operations serves as an Alternate Member.

NOTE: Given their similar make-up, the Bid Review and the Change Order Committees often are held at the same time, for project efficiency.

D. School Construction Process - Below are the steps for the school construction process

- 1. **School district identifies the need** for additions, renovations, or code compliance improvements. Consultants and other professionals may be involved with the documentation process. Program changes, expansions, as well as student enrollments and building conditions must be considered.
- 2. **Educational Specifications are prepared** by the Board of Education Administration, which may consult with architects, engineers, and specialty consultants. They follow State guidelines and address its requirements. Projected project costs and eight-year enrollment figures must be included in the educational specifications. If the project involves a new school, an operations plan must be developed.

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3. ***The City of Hartford must establish a bond authorization*** to pay for its share of project costs associated with the school construction project. The City's Court of Common Council must approve bond ordinances according to the City charter. Notification must be sent to OSCGR that project funding is in place prior to grant application submission. In instances where the City is not bonding, the General Fund will make transfers to the appropriate project to pay for its share of project costs. Transfers are typically performed at year end with the approval of the CFO/OMBGA Director.
4. ***The Superintendent of Schools presents the Educational Specifications to the Board of Education for approval.*** The Operation Plan for a new school must be approved at the same time.
5. ***The City's Court of Common Council must authorize the Superintendent of schools to submit the grant application for a school construction project.*** The Court of Common Council must also assign the project to the HSBC and authorize the preparation of at least schematic drawings and specifications.
6. ***A school construction grant application is prepared by Administration with assistance by the Program Manager detailing the project work and presented to the Board of Education by the Superintendent of Schools for approval.*** The Grant Application and the Educational Specifications for a School Building Project must be submitted to the Office of School Construction Grants & Review of the State Department of Education by June 30th of a calendar year. The City must verify it has its share of project financing in place. The grant application goes through OSCGR for evaluation and is placed on a priority list and presented to the General Assembly in December of a calendar year. A grant commitment is made by the State Legislature in the following legislative session.
7. ***A grant commitment letter is issued*** by OSCGR upon legislative approval. The approved project cost and reimbursement percentage will be noted in the letter for record.
 - a. **Council Authorization** - School construction projects typically receive City Council authorization during the CIP annual budget process. At times these projects may require City Council authorization outside of the CIP annual budget process if they are presented outside of the budget approval season. Approval would then be obtained through regularly scheduled Council meetings. Departments should follow the standard process for submitting resolutions to the Mayor's Office. See Appendix D for a sample resolution.
 - b. **Project Creation in Munis** - The grant commitment letter should be shared with the Project Accountant and the Program Manager. Once City Council provides authorization and the grant commitment letter is

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received, the Project Accountant will then create the project in the Project Master in Munis, add GL Accounts, and load the budget.

- c. **HSBC develops a Request for Qualifications (“RFQ”) or a Request for Proposals (“RFP”)** to procure interest from a program management firm to oversee the project work. The HSBC selects a program manager and enters a contract for the oversight of school construction work.
8. **The Program Manager develops an RFQ or RFP** to procure interest from architects/engineers to develop the plans and specifications for the school construction work. The HSBC selects an architect and enters a contract for the project work.
9. **The design professionals then form an Advisory Committee at the school level** to assist as they develop the plans and specifications. The process moves from schematic design to design develop and contract document stages.
10. **The Program Manager develops RFQ and RFP** to procure a construction manager for the project. The HSBC selects and enters a contract with a construction manager to complete the project work. Ideally this occurs within one or two months of the architect's selection.
11. **The HSBC approves plans and specifications for the school construction project** at the end of each of the phases of development (Schematic Design, Design Development, and Construction Documents).
12. **Final plans and specifications are submitted to OSCGR** for its review and approval prior to bidding. The architects and engineers must address comments made by the State to gain final approval on the project.
13. **OSCGR issues a letter authorizing the Owner to bid the project work.** No bids can be let out until the approval letter has been issued. A guaranteed maximum price for the work is established by the Construction Manager.
14. **The Construction Manager establishes a bid period, typically four to six weeks in length.** The lowest qualified and responsible bidders are recommended to the HSBC for contracts to complete the school construction project. During the construction phase, should there be an instance where only one bid is received, the package will be rebid. If there is still only one bid following the rebid, the Construction Manager may recommend that the package be split to attract more bidders or give the work to other trades.

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15. ***The HSBC authorizes the Construction Manager to enter into construction contracts with various firms*** to build or renovate a school according to the approved plans and specifications.
16. ***Start of construction date is established*** the construction period could last anywhere between twelve (12) to thirty-six (36) months depending on size and complexity of the project.
17. ***The project work is monitored on a regular basis.*** All changes to the contract must be approved by the HSBC. The Program Manager's Financial Controls Manager is responsible for financial tracking of the school construction project costs to budget, including eligible and ineligible cost monitoring. The Financial Analyst and Project Accountant are also responsible for tracking and monitoring spending.
 - a. **Change Orders** - Program Manager prepares change order memo to school building committee for approval. Each change order is classified by type and reason for change order, i.e., owner's request, unforeseen conditions.
 - i. Building committee passes change order. Program manager delivers to Project Accountant for review of accounts and budget.
 - ii. The Project Accountant confirms that the correct GL org, object, and project codes are being used and verifies that the change order is within the project's available approved cash spend for the fiscal year.
 - iii. Once the Project Accountant has reviewed the change order, it is then routed to the Financial Analyst for review and for CFO/OMBGA Director's signature.
 - iv. Change order is then entered in Munis by Procurement once approved by Finance by changing the value of the existing purchase order.
 - v. Procurement is responsible for notifying the department that the change order has been entered.
 - b. **Funding** - The Program Manager's Financial Controls Manager is responsible for populating the reimbursement requests.
 - i. Drafts are submitted to the Management Analyst, Department Fiscal Manager, and the Project Accountant for review. After initial review, the Management Analyst then shares the drafts with the Director of Management & Budget for final review and approval. Once approved, the Management Analyst advises the Financial Controls Manager that the reimbursement requests are approved. The Financial Controls Manager then submits them to the State Department of Education.
 - ii. The Project Accountant is responsible for recording revenue as the wires are received. The Management Analyst, Department Fiscal

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Manager, Director of Operations and the Program Manager's Financial Controls Manager are to be notified when the wires are received. The State withholds 11% retainage of the reimbursable amount for ineligibles to be released following the final audit. Example: If the project has a 95% reimbursement rate, the State will reimburse 89% of the 95% of expenses requested.

- b. **Record Retention** - All records are to be retained by the Program Manager and all copies of approved invoices are to be retained by the Project Accountant. Records should be retained until the final audit has been issued.
18. ***The project reaches substantial completion*** when the work contained in the contract documents has been completed to the extent that the Owner can occupy the space and use the facility.
 19. ***The new or renovated space is set up for school use.*** Fixtures, furniture, and equipment and technology items are delivered and installed.
 20. ***A Certificate of Occupancy is issued*** by the City's Licenses and Inspections Department in conjunction with the Fire Marshal so the school may be occupied. Interim "Temporary" Certificates of Occupancy may be issued to allow use of portions of the project.
 21. ***All final documents such as warrantees, as-builts and operation and maintenance manuals are submitted to the City*** by the contractors and architects.
 22. ***Final acceptance of the project as "complete" is approved*** by the HSBC and the Hartford Board of Education.
 23. ***Final grant calculations, Final Request for Payment, and Final Eligible and Ineligible Cost Worksheet are*** submitted to OSCGR for approval to close out the project work and advance the project to final audit.
 24. ***Final audit*** is initiated and performed between the State and the Program Manager's Financial Controls Manager. Assistance is needed from the Project Accountant to obtain Munis reports as well. Once the draft audit has been completed, the Program Manager's Financial Controls Manager and the Director of Operations have an opportunity to review and dispute the findings. Final approval of the audit results must also be accepted by the Superintendent of Schools. Once the draft audit has been accepted, a final audit is issued. Upon issuance and, depending on the findings, the State will release any held retainage or require additional City funding.

IV. DEPARTMENTAL CIP PROJECT PROCESS - ROLES AND RESPONSIBILITIES

Various departments within the City play a role in the capital improvement project process. The Department of Public Works (“DPW”), the Department of Development Services (“DDS”), and the Board of Education (“BOE”) are charged with implementing the majority of CIP-funded projects. The BOE exclusively manages school-related projects, whereas DPW and DDS may share joint responsibility over municipal projects.

DEPARTMENT ROLES	
Department of Public Works (DPW)	Manages municipal facility / park projects
Department of Development Services (DDS)	Manages streetscape planning and design projects
Department of Emergency Services (EST)	Manages public safety projects
MHIS	Manages technology projects
Board of Education (BOE)	Manages school projects
Office of the Chief Operating Officer (COO)	Project and program oversight; contract sign off
Office of Management, Budget, and Grants Administration (OMBGA)	Budget review, contract sign off
Finance	Account setup, invoicing, reimbursement
Procurement	Bid process, contract sign off
Corporation Counsel (CC)	Contract execution - form and legality
Mayor’s Office (MO)	Contract execution - final sign off

The differentiation between DPW and DDS responsibilities is further defined below:

PUBLIC WORKS	DEVELOPMENT SERVICES
Leads most projects , which are site-specific and discrete from other activities	Leads most programs , which often include multiple locations / activities
Initiates and leads all work related to facilities, parks, bridges, and the flood control system	Initiates individual streetscape and transportation projects
Manages projects throughout the latter phases, including construction and closeout	Delivers most projects and programs to DPW staff or external consultants after the design phase
Handles all technical / engineering-based tasks	Handles all urban planning-related tasks Facilitates all CIP community outreach efforts

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	Manages all large-scale streetscape and transportation projects, regardless of funding source/recipient
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Project Development / Management

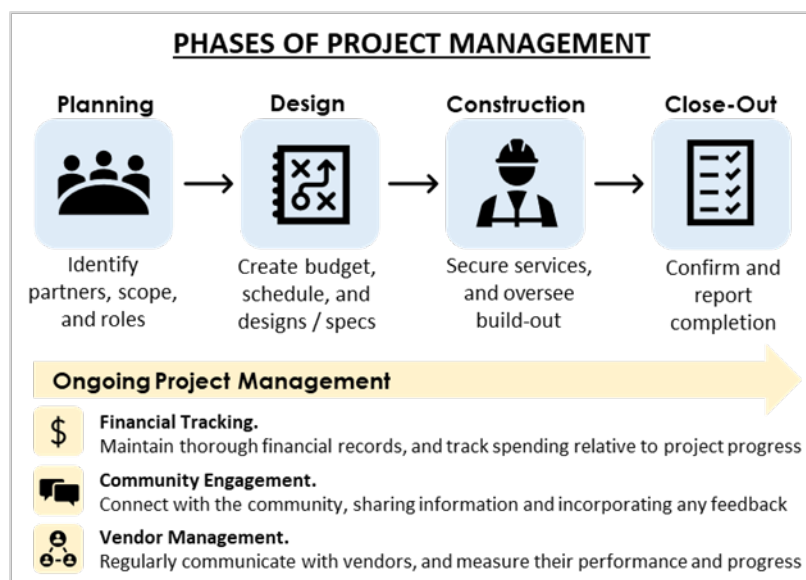
Project development / management is a process that involves four distinct phases: planning, design, construction, and closeout. In addition to these phases, there are ongoing tasks that will occur throughout the process.

As each project progresses between phases, there may be a hand-off from Project Manager in one department or division to a new Project Manager, or even a vendor. Hand offs between staff, vendors, or departments must include a complete package with the following:

- Server/file locations
- Internal contact list
- Vendor contact list
- Meeting minutes and notes
- Drawings/specs/standards
- Financial information (Munis codes, available budget, invoices, reimbursements, etc.)

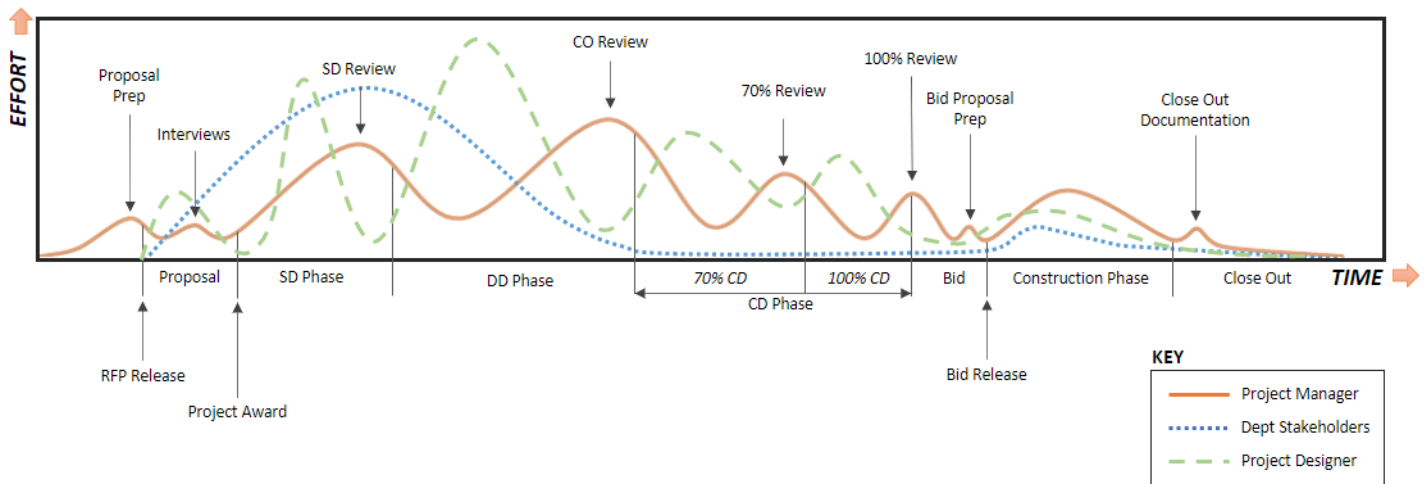
Project Manager

The Project Manager (“PM”) is the person assigned to lead the project team and achieve the project objectives. The Project Manager is responsible for planning, executing, directing, monitoring, and closing out all things related to the project, including, but not limited to partner relationships, budget management, communications, risk, procurement, timelines, and scope. The Project Manager is the main point of contact for the project and is responsible for general oversight, as well as compiling, updating, and maintaining all records related to a project.



Definitions and references (e.g. the Project Manager Check-list) are included in the Appendices.

PROJECT MANAGEMENT - LEVEL OF EFFORT



A. Planning

1. Project Management

- a. The proper initiation of a project is a critical step in setting up the team for success. In the planning stage, the PM is responsible for identifying stakeholders and defining project outcomes. Stakeholders often include City departments, community members, boards and commissions, and elected officials. The intent of this stage is to reach an agreement amongst all stakeholders regarding the goals of the project and the path in which to achieve those goals.
- b. The PM will be responsible for identifying and meeting with partners, collecting data, and communicating to stakeholders, the project team and City leadership. At this stage, a preliminary target budget and schedule will be discussed and established. This is of particular importance for forecasting budget needs in years 2 through 5 of the Capital Program.
 - i. It is important that the PM:
 - 1) Coordinate with all City departments when planning a project

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- 2) Include lessons learned from previous projects
- 3) Incorporate new strategies and technologies
- ii. Note that portions of this planning stage may be provided by Department Heads prior during the Initiation stage.

2. Roles

- a. Lead Departments
 - i. DPW
 - ii. DDS
 - iii. BOE
- b. Supporting Departments
 - i. COO

3. Deliverables

- a. Statement of Work (purpose, audience, and estimated project period)
- b. Scope of Work (with tentative budget and timeline)
- c. Stakeholder / Partner List
- d. Project Schedule
- e. Complete RACI Index (Appendix H)
- f. Community Engagement Plan
- g. CIP Project Process Check-list (Appendix I)

B. Design

1. Project Management

- a. During this stage, the PM will be responsible for meeting with partners, collecting data, and communicating to stakeholders, the project team and City leadership. At this stage, the PM and the team will further develop the target budget and schedule for all phases of the project, from preliminary design to close out, FF&E procurement, and technology implementation (if needed). In addition, schematic, concept, and construction designs will be drafted and finalized during this stage.

2. Roles

- a. Lead Department
 - i. DPW
 - ii. DDS
 - iii. BOE
- b. Supporting Departments
 - i. OMBGA, Community Engagement

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3. *Deliverables*

- a. Contingency Form (see Appendix J)
- b. Schematic Design (2-4 months)
 - i. Site Survey
 - ii. Geotechnical/site/soil analysis
 - iii. Cost estimate with design contingency of 10% and escalation of 5% per year
- c. Concept Design (2-4 months)
 - i. Case Study Research
 - ii. FF&E
 - iii. Technology
 - iv. Material / Plant Palette
 - v. Renderings
- d. Design Development (2-4 months)
 - i. Product Selection
 - ii. Architectural Plans
 - iii. Planting Plans
 - iv. Cost estimate with design contingency of 5% and escalation of 5% per year
- e. Construction Documents (2-4 months)
 - i. Specifications and Drawings
 - ii. Bid Package
 - iii. Cost estimate for 50% completion
 - iv. Cost estimate for 100% completion

C. Construction

1. *Project Management*

- a. In the Execution phase, the PM is responsible for securing professional services and managing the process of getting the project designed, bid, and built.
- b. Tasks include procuring professional and construction services, contracting, setting and tracking budgets and timelines, as well as processing contracts and payments. The PM starts both the design phase and construction phases with a kick-off meeting where the teams are informed of their responsibilities.

2. *Roles*

- a. Lead Department
 - i. DPW
 - ii. DDS
 - iii. BOE
- b. Supporting Departments
 - i. Procurement
 - ii. OMBGA
 - iii. Finance
 - iv. CC
 - v. COO
 - vi. Mayor's Office

3. *Deliverables*

- a. General Contractor Request for Proposals
- b. Prebid walkthrough
- c. Bid Review and Awardee Selection
- d. Contract Execution
- e. Community Notifications
- f. Kick-off Meetings
- g. Construction fencing/signage
- h. Construction Execution
- i. Construction Owners' Meetings
- j. Change Order Tracking
- k. Risk Management Review
- l. MWBE Reporting
- m. Stakeholder Communication
- n. Construction Administration

D. Ongoing Management

1. *Project Management*

- a. Throughout the life of the project, the PM will be responsible for an ongoing series of tasks, which include monitoring and controlling the budget, schedule, scope, and communications for the project. The project's progression and performance should be regularly assessed in order to ensure a timely realization of the desired, pre-determined project outcomes. This may include maintaining thorough expense records, communicating closely with vendors, and holding vendors accountable to previously identified milestones and metrics.
- b. The PM will also be required to communicate progress to residents or other stakeholders, which can include presenting at public meetings, collecting community input, and incorporating feedback into the project. It is critically important to develop and maintain a continuous community engagement/communication plan, so that there are ample opportunities to either involve or inform stakeholders in the project development and delivery process.
- c. Ultimately, the outlined scope should be completed on time, on budget, and with high quality assurance, all while maintaining a high level of community engagement.

2. *Roles*

- a. Lead Department
 - i. DPW
 - ii. DDS
 - iii. BOE
- b. Supporting Departments
 - i. OMBGA
 - ii. Finance
 - iii. COO

3. *Deliverables*

- a. Interim Budget Tracking
- b. Regular Project Status Reports
- c. Vendor Progress Reports
- d. Public Communications and Presentations

E. Close Out

1. *Project Management*

- a. During the close out phase, the PM is responsible for ensuring that all tasks have been completed. All documents are to be delivered to the PM, including as-built drawings, sketches, and submittals.
- b. At this phase, the PM will be responsible for coordinating move-in dates (where applicable), completing any remaining City maintenance, organizing remaining stock, wrapping up contracts, and paying final invoices.
- c. The close out of a project shall include a complete package/inventory of the project. This includes the components of the regular hand off package, and also includes any requirements related to data retention and alternative funding (grants, donations).

2. *Roles*

- a. Lead Department
 - i. DPW
 - ii. DDS
 - iii. BOE
- b. Supporting Departments
 - i. OMBGA
 - ii. Finance
 - iii. COO

3. *Deliverables*

- a. Final Budget Review
- b. Consolidation of Documents
- c. Contract / Purchase Order Close Out
- d. Document Retention and Control

V. APPENDICES

A. Definitions/Glossary

Capital Assets. (That extend beyond one year) The capital assets included in this accounting system are land, buildings, improvements, infrastructure, equipment, vehicles, leasehold improvements and intangible assets as further defined.

Land. Land includes the investment, fee simple in real estate other than building and/or improvements.

Buildings. Buildings include all local government owned buildings except those whose condition prevents their serving any present or future useful purpose. Permanently installed fixtures to or within the building, such as lighting fixtures and plumbing, are considered a part of the building. The costs of major improvements to a building, such as additions and renovations, should be capitalized and recorded as a part of the building asset value.

Improvements. Improvements are physical property of a relatively permanent nature. Examples include storage tanks, parking areas and park facilities.

Infrastructure. Infrastructure includes capital expenditures relating to roads, curbs and gutters, streets, sidewalks, bridges, flood control, water lines, sewer lines, drainage systems and lighting systems, including traffic signals.

Equipment. Tangible property (other than land or buildings) with a value of \$5,000 or more and a useful life of one year or more that is used in the operation of the City such as mobile equipment, office equipment, data processing equipment, machines, tools and office furniture and fixtures.

Vehicles. All rolling stock including construction related heavy equipment such as backhoes, bulldozers and forklifts.

Intangible Assets. Intangible assets include software, easements, and right of ways. An intangible asset can only be recognized as an asset if it is identifiable, meaning it can be sold, transferred, licensed, rented, exchanged or it arises from contractual or other legal rights as per Government Accounting Standards Board (GASB) Statement No. 51.

Leasehold Improvements. Costs used to increase the service capacity of a leased asset, such as additions, alterations, remodeling or renovations.

Maintenance. Maintenance is defined as expenditures that neither materially add to the value of an asset nor appreciably prolongs its life. Rather, maintenance keeps an asset in ordinary efficient operating condition. As such, maintenance costs should not be capitalized.

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Capital Projects. Capital projects are undertaken to acquire capital assets and are differentiated from ordinary repairs or maintenance of a recurring nature. Examples of capital projects include land acquisitions, construction or major improvements to public buildings, road construction and the acquisitions of large equipment.

Capital Improvement Project. A project costing more than \$100,000 for a non-maintenance or routine repair. Equipment purchases, however, are not typically considered capital projects unless they are for new facilities or major investments costing more than \$50,000.

B. City Charter Excerpts

1. **Sec. 36-2. - Background**

On January 26, 2009, the court of common council passed a resolution declaring its desire to create a "Percent for the Arts" public art policy in the City of Hartford for its capital improvement projects. (Ord. No. 16-09, 4-27-09; Ord. No. 07-12, 5-29-12).

2. **Sec. 36-3. - Definitions**

- a. For purposes of this article, capital improvement projects means the following:
 - i. Construction of buildings and structures such as City offices, administration buildings, school buildings, fire and police stations, airport terminals, and recreation centers;
 - ii. Construction or expansion of utilities such as power plants, electric substations, water plants, water towers and above ground reservoirs, wastewater treatment plants, bus stations, parking structures and lots;
 - iii. Construction or renovations to maintenance facilities for public works and utilities, recycling centers and transfer stations; and
 - iv. Construction, renovations or expansions to parks, playgrounds, swimming pools, trails and playing fields.
- b. For purposes of this article, public art means permanent or portable pieces located on public property, arts integrated into the design of a public facility and garden landscaping.
(Ord. No. 16-09, 4-27-09; Ord. No. 07-12, 5-29-12)

3. **Sec. 36-4. - Statement of policy**

- a. Where fiscally appropriate and legally permissible, the City shall set aside one (1) percent of the cost of all above ground capital improvement projects which exceed five hundred thousand dollars \$500,000.00 (including costs for architects and engineers but excluding land costs) to fund the creation and placement of public art according to the guidelines set forth in this resolution.

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- b. Where feasible, amounts set aside for public art in connection with capital improvement projects shall be spent on public art which enhances the project and funds set aside for public art from a utility shall be spent on art which enhances the utility. No more than three (3) public art projects shall be initiated during any one (1) fiscal year. Each fiscal year an adequate amount shall be budgeted for the maintenance of existing public art.

(Ord. No. 16-09, 4-27-09; Ord. No. 07-12, 5-29-12)

4. Sec. 36-6. - Recommendation process.

- a. The Mayor and staff shall use the following processes when recommending percent for the arts projects:

- i. The Mayor shall indicate on the capital improvements plan submitted in the proposed annual budget those capital improvement projects that meet the general criteria for percent for the arts.
- ii. The capital improvements plan shall be forwarded to the cultural affairs commission and to the commission on cultural affairs standing committee on public art for their recommendations and priorities, which shall then be forwarded to the City Council within forty-five (45) days of its receipt.
- iii. The City Council, by resolution, shall determine which capital improvement projects shall have a percent for the arts component and will authorize City staff to develop the public art component.

(Ord. No. 16-09, 4-27-09; Ord. No. 07-12, 5-29-12)

5. Sec. 1. - City Treasurer - There shall be a City Treasurer, who shall have the powers set forth in this Charter, or as otherwise provided by law.

- a. Duties. The City Treasurer shall have the following responsibilities, as well as any others set forth in this Charter, the General Statutes or by ordinance:

- i. Custodian of City funds. Except as otherwise provided in or pursuant to any of the provisions to which reference is made in subparagraph (4) below, the City Treasurer shall have custody of, and shall disburse, all funds belonging to the City and shall deposit the same in one (1) or more authorized public depositories. For purposes of this chapter, an "authorized public depository" shall be any bank and/or trust company that qualifies as a qualified public depository under and pursuant to the General Statutes to the extent the same has been designated as such by the council on the recommendation of the Mayor, following consultation with the City Treasurer.

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- ii. Treasurer of town deposit fund and capital improvement funds. Investment responsibilities. The City Treasurer shall have custody, and shall be treasurer, of the town deposit fund and the capital improvement fund as well as any trust or like funds which are established by or under this Charter or the General Statutes for any eleemosynary purposes by or for the benefit of the City of Hartford, its residents or any of its public parks, buildings or other improvements. In that capacity, the City treasurer shall have authority to invest and reinvest the assets of all such funds in cash, securities and other investment instruments and/or vehicles which are legal for the investment of trust funds under the General Statutes, consistent with the fiduciary and other standards set forth in the Connecticut Uniform Prudent Investors Act. Nothing herein shall be construed to prevent sinking funds and trust funds from continuing to be managed by the trust companies managing them at the effective date of this Charter, unless the appointment is revoked by the council for cause. Whenever a vacancy occurs in the management of any trust fund, or any trust fund is hereafter created, the council shall have power, on the recommendation of the City Treasurer, to designate one (1) or more authorized public depositories to manage the same, which designation shall continue until revoked by the council for cause.
- iii. Disbursements. The City Treasurer shall make no disbursement from any funds of the City except by check or electronic transfer signed or authorized by the City Treasurer. Each check or transfer shall be based upon a voucher or payroll duly audited by the director of finance. Before signing any check or authorizing any transfer the City Treasurer shall be satisfied that such check or transfer represents the payment of a duly authorized obligation of the City. The City Treasurer shall keep such books and records as the director of finance shall prescribe. The City Treasurer's official bond shall be a surety company bond in an amount sufficient to satisfy the requirements of the General Statutes and the ordinances.

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- iv. The role of the City Treasurer with regard to City pension funds. The City Treasurer shall have the specifically delineated responsibilities pertaining to the care, custody and investment of the assets held in various of the pension and retirement funds that are maintained on behalf of current and/or former City employees and their beneficiaries, and such powers incident to such responsibilities (including the power, upon approval of the pension commission, to invest and reinvest the same and to enter contracts with qualified custodians, investment advisers and life insurance companies) all as and in the manner referred to in Chapter XII of this Charter.

- b. Assistant City Treasurer. The City Treasurer shall appoint to serve at the treasurer's pleasure an assistant City Treasurer and shall file with the city clerk a certificate of such appointment and the city clerk shall record such certificate in the minutes of the council. Said assistant shall perform such duties as may be required by the City Treasurer and shall have all the powers and duties of the treasurer during the City Treasurer's absence or disability. Subject to the personnel and civil service provisions of this Charter and ordinances, the City Treasurer shall appoint and remove such other employees as may be provided by ordinance.

(Election of 11-5-02)

6. Sec. 2-108.4. - Department of development services - Planning

- a. The head of planning shall serve as the secretary to the planning and zoning commission and assign other employees of the division to assist the planning and zoning commission as may be necessary.
- b. The department of development services shall have a planning function, that may take the form of a division, office or work unit to carry out its duties and responsibilities, which may include but are not limited to:
 - i. Providing design services and staff and technical assistance to the zoning board of appeals, planning and zoning commission, and the City's historic properties commission; develop design guidelines; provide architectural and graphic data and mapping assistance to other City departments; and evaluate and make recommendations on proposals from various neighborhood organizations.
 - ii. Preparing the ten-year plan of conservation and development and developing strategic plans for implementing the ten-year plan of conservation and development, preparing project and feasibility studies, serving as a liaison between planning and implementing agencies, and providing zoning staff assistance.
 - iii. Coordinating the preparation of the City capital improvement plan.

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- iv. Performing such other duties as may be assigned by the director of the department of development services.
(Ord. No. 17-05, 11-28-05; Ord. No. 003-20, 6-22-20)

7. Sec. 2-485. - Debt retirement fund

For the purpose of promoting the proper application of any unexpended proceeds arising out of the issuance and sale of general obligation serial bonds of the City, there is hereby created a special fund to be known as the debt retirement fund. The council may from time to time, by resolution introduced by any Council member or the City manager, direct the transfer of any unexpended proceeds arising out of the issuance and sale of general obligation serial bonds of the City into the debt retirement fund; except, however, that whenever the Greater Hartford Flood Commission shall have determined that unexpended proceeds of a flood-control bond issue are available for transfer to the debt retirement fund, the council may on the recommendation of the Greater Hartford Flood Commission, by resolution, authorize the use of such funds by the commission for the purposes so recommended. Such debt retirement fund shall be kept and maintained by the City Treasurer as a separate and special fund and shall be separately stated and accounted for. The moneys in the debt retirement fund, together with any income derived from the investment of the moneys, shall be used, in such amounts as the council may from time to time direct by resolution, for the following purposes:

- a. The payment of interest on the principal of general obligation serial bonds of the City as they shall become due and payable;
- b. The bonds on the open market of general obligation serial bonds of the City issued and outstanding, at par value or less than par value;
- c. Transfer to the capital improvement fund of a sum not in excess of the fund balance after the current year obligation to the general fund has been paid, to temporarily finance a project properly financed in the capital improvement fund, provided a like sum shall be returned to the debt retirement fund forthwith upon permanent financing, and provided further, if a project so temporarily financed is abandoned, a sum equal to the amount transferred shall be included in the next prepared general fund budget for the benefit of the debt retirement fund.

(Code 1977, § 2-13)

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8. Sec. 2-487. - Use of proceeds from sale of City park property

- a. The avails from the sale of any park land shall be forthwith deposited in a permanent endowment fund known as the Hartford Parks Trust Fund as established in subsection (b) of this section.
- b. There is hereby established a permanent endowment fund known as the Hartford Parks Trust Fund. Such fund is established under authority of the General Statutes and pursuant to section 2-484 for the exclusive purpose of funding capital improvements and nonrecurring expenses in the parks and cemeteries of the City including the acquisition of replacement land for park purposes.
 - i. Capital improvements shall include but not be limited to the following:
 - 1) Purchase price;
 - 2) Construction cost;
 - 3) Professional fees, including but not limited to architectural, legal, and accounting fees;
 - 4) Transportation costs, such as freight charges;
 - 5) Legal claims directly attributable to the asset acquisition;
 - 6) Title fees;
 - 7) Closing costs;
 - 8) Appraisal and negotiation fees;
 - 9) Surveying fees;
 - 10) Damage payments;
 - 11) Land preparation costs;
 - 12) Demolition and remediation costs;
 - 13) Insurance premiums during the construction phase; and
 - 14) Capitalized interest.
 - ii. The principal of the Hartford Parks Trust Fund shall consist of the following:
 - 1) The proceeds of any sale of any portion of Batterson Park consummated prior to July 11, 1988, which proceeds were not previously deposited in the capital improvements fund and the proceeds of any future sale of any portion of Batterson Park;
 - 2) Any gifts or grants made to the City and designated for park or cemetery improvement purposes;

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- 3) The proceeds of any sale, conveyance or taking of any park land owned by the City, except for the proceeds of the transfer, in fiscal year 2016-17, of a portion of Batterson Park to the Municipal Employees Retirement Fund as partial payment of the City's annual actuarial determined employer contribution;
 - 4) Any funds from any source designated by the council to be added to this permanent endowment fund.
- iii. The principal of the Hartford Parks Trust Fund shall be permanent and nonexpendable and shall be invested as follows:
- 1) Such funds are to be invested under a trust agreement with a trust company as a managing agent in accordance with section 2-484;
 - 2) The investment of such funds shall be with the objective of generating income and growth of income over time consistent with preservation of capital.
- iv. Investment income, including capital gains and dividends, is to be expended in the following manner:
- 1) Upon recommendation of the Mayor and with the approval of the council, the investment income from the fund may be transferred to the capital improvements fund and appropriated for capital improvements, and nonrecurring expenses in the parks and cemeteries of the City, including the acquisition, development, improvement, maintenance and expansion of park, cemetery and recreation lands, provided that the Mayor, in consultation with the City Treasurer, determines that sufficient funds remain in the trust fund, after the transfer, to preserve the true value of the principal and to continue to provide a sustainable level of income for the fund into the future.
 - 2) The Mayor is authorized to expend annually an amount not to exceed twenty-five (25) percent of the investment income from the fund for acquisition, erection, installation, maintenance, improvement, repair and replacement of park or recreation facilities and equipment, any other capital or nonrecurring expenditures incurred for park or recreational purposes or cemeteries.

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- 3) The Mayor is authorized to expend annually up to five (5) percent of the investment income for the Hartford Tree Account, pursuant to section 28-164.
 - 4) Any remaining investment income shall be held in reserve for future transfer and appropriation.
 - 5) Each year, the Mayor shall recommend a priority list of capital improvement projects and nonrecurring expenses for the approval of the council. This list may be amended as the need arises, provided the amendments are also approved by the council. A primary factor in establishing such a priority list shall be the frequency of use by the public of the existing resource to be improved, or, in the instance of a proposed new project, the frequency of use by the public of the park or cemetery in which the proposed new project would be located. No funds allocated to or generated by the fund shall be appropriated or spent until the priority list, as may be amended, has been approved by the council.
- v. No funds allocated to or generated by this permanent endowment shall be used for normal operating expenses or routine maintenance or repairs.
 - vi. No budget proposed or approved or appropriation made for park or recreational purposes or cemetery maintenance shall be reduced, ratably or otherwise, in consideration of any moneys in the fund.

Notwithstanding anything in this Section to the contrary, this Ordinance [Ordinance No. 49-11] as amended shall apply to all such capital improvements which have been approved by the Mayor and Court of Common Council in the City's approved budget for fiscal year 2011-2012 and all future approved budgets.

(Code 1977, § 2-15; Ord. No. 9-87, 4-27-87; Ord. No. 42-88, 7-11-88; Ord. No. 8-95, 6-12-95; Ord. No. 19-97, 9-22-97; Ord. No. 19-02, 5-28-02; Ord. No. 09-08, 4-28-08; Ord. No. 15-10, 12-13-10; Ord. No. 49-11, 10-11-11; Ord. No. 11-16, 11-16-16)

CITY OF HARTFORD, CONNECTICUT
CAPITAL IMPROVEMENT PLAN POLICIES & PROCEDURES

9. **Sec. 2-488. - Loans from capital improvement fund to redevelopment agency**

Notwithstanding the provisions of Sections 2-486 and 2-487, the City is authorized to make loans of unappropriated funds in the capital improvement fund to the redevelopment agency for definitive and temporary financing of a redevelopment project, provided such loans are secured by the amount of state or federal grants and the amount of the appraised reuse value of the land in a redevelopment project and do not exceed such amounts.

(Code 1977, § 2-16)

10. **Sec. 2-516. - Capital budget**

- a. The Mayor shall present a program, previously considered by the Planning and Zoning Commission as provided in chapter VII Section (d)(2) of the Charter, of proposed capital projects for the ensuing fiscal year and for the four (4) fiscal years thereafter. Estimates of the cost of such projects shall be submitted by each department, office or agency annually in the same manner as estimates of other budgetary requirements are prepared for the Mayor. The Mayor shall recommend to the council those projects to be undertaken during the ensuing fiscal year and the method of financing them. The council may levy annually a tax of not more than two (2) mills to be assessed upon the ratable estate within the City at the same time as the regular annual taxes for City expenses, for the benefit of a fund to be known as "The Capital Improvement Fund" established for the purpose of paying the cost of capital improvements for which the City is authorized by the Charter to issue bonds and for no other purpose. The proceeds of such levy shall be kept by the City Treasurer in a special bank account until invested as provided in chapter IX of the Charter. The council shall have power to transfer from time to time to the capital improvement fund any portion of the general fund cash surplus not otherwise appropriated. Appropriations for construction or other permanent improvements, from whatever source made, shall not lapse until the purpose for which the appropriation was made shall have been accomplished or abandoned. Any project shall be deemed to have been abandoned if three (3) fiscal years elapse without any expenditure from or encumbrance of the appropriation therefor. At the request of the Mayor, the council may, at any time by resolution, transfer any unencumbered balance or portion thereof from one (1) project to another.

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- b. Along with the program required by paragraph (a) of this section, the Mayor shall submit detailed information about the status of all capital projects and needs, which shall include at least the following information:
- i. A comprehensive detail annual assessment of the capital needs at each facility owned, leased, or operated by the City;
 - ii. A description of the scope of each capital project;
 - iii. Justification for each capital project;
 - iv. The status of each project, including, if appropriate, percentage funded, percentage complete, and approved start and end dates;
 - v. Original approved cost and current approved cost for each project;
 - vi. The impact of the project on the General Fund operating budget;
 - vii. The name of each facility affected by a project;
 - viii. All verified funding sources for each project;
 - ix. The names of developers, partners, investors, architects, landscape architects, civil engineers, site planners, market consultants, economists, attorneys, government approvals, environmental consultants, soils engineers, surveyors, title companies, lenders, financing, lobbyist, appraiser, general and sub-contractors for each project;
 - x. The detailed total amount of all of the City's outstanding debt, with a schedule of maturities of bond issues;
 - xi. A report summarizing the status of all previously approved capital projects stating those which have been completed, and the balance of any unexpended bond funds available with recommendations for either redemption of bonds or other capital projects use;
 - xii. The amount required for interest on the City debt, and for maturing serial bonds and other maturing obligations, and other fixed charges;
 - xiii. An itemization of all anticipated revenue from sources other than taxes for the next ensuing three fiscal years and the average annual income from each source for the past five years;
 - xiv. The amount of funding budgeted to comply with federal, state and local laws except in instances where the applicability is being contested or the City intends to contest same in good faith; and
 - xv. Any other information the Director of Management and Budget believes to be pertinent.

(Code 1977, § 2-246; Ord. No. 19-15, § 3, 12-28-15)

11. Sec. 9. - Capital budget

As a part of the budget message or as a separate report attached thereto, the Mayor shall present a program of proposed capital projects for the ensuing fiscal year and for the four (4) fiscal years thereafter. Estimates of the cost of such projects shall be submitted by each department, office or agency annually in the same manner as estimates of other budgetary requirements are prepared for the Mayor. The Mayor shall recommend to the council those projects to be undertaken during the ensuing fiscal year and the method of financing the same. The council may levy annually a tax of not more than two (2) mills to be assessed upon the ratable estate within the City at the same time as the regular annual taxes for City expenses, for the benefit of a fund to be known as "The Capital Improvement Fund" established for the purpose of paying the cost of capital improvements for which the City is authorized by this Charter to issue bonds and for no other purpose. The proceeds of such levy shall be kept by the City Treasurer in a special bank account until invested as provided in section 1 of Chapter VI of this Charter. The council shall have power to transfer from time to time to the capital improvement fund any portion of the general fund cash surplus not otherwise appropriated. Appropriations for construction or other permanent improvements, from whatever source made, shall not lapse until the purpose for which the appropriation was made shall have been accomplished or abandoned, provided any project shall be deemed to have been abandoned if three (3) fiscal years elapse without any expenditure from or encumbrance of the appropriation therefor, provided, at the request of the Mayor, the council may, at any time by resolution, transfer any unencumbered balance or portion thereof from one (1) project to another.

(Election of 11-5-02)

CITY OF HARTFORD, CONNECTICUT
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C. CIP Project Justification Form

This sheet is intended to elaborate and clarify the questions and definitions referenced in the Project Summary and Project Details worksheets.

I. PROJECT SUMMARY	
A. General Information	
Requesting Department	Enter the department initiating the project request.
Submission Date	Include the date of this request.
Department Priority #	Each department should catalogue their CIP projects in order of priority. For this question, list the project's priority number and the total number of department projects.
Project Priority Type	Using the following definitions, select the appropriate classification for the project. Mandatory - Refers to the protection of life, the maintenance of public health and safety, the actions necessary to avoid potential legal liability, and/or the legal requirements mandated by City, State or Federal laws/executive orders/administrative procedures. Maintenance - Refers to a continuation of public services, the conservation of endangered resources, or the finishing of partially completed projects. Redevelopment - Refers to the improvement or replacement of community facilities. New Service - Refers to the expansion of the public facilities service area of the City, or the provision of new public services.
Department Contact	If "Mandatory" was selected, list the legal/regulatory mandates.
Phone	Identify the lead department contact for the project.
Project Name	Provide a phone number for the department contact.
Is this project is the current CIP?	Provide the project's title
	Identify whether this project is a current CIP project.
	If yes, list the current MUNIS ID.
	If yes, list the total appropriation to date.
B. Primary Project Location	
Address 1	Enter the address of the building/land site location.
	For citywide projects, put "Citywide"
Address 2	If the project type is "line" as described in the following question, enter the end points here (ex: Albany & Homestead).
Project Type	Your project will be entered into the City's GIS database. Describe the geography of your project (e.g. line for sidewalk, point for streetlight, and area for park space or building). Point – pertains to a specific building or location Line – pertains to a location that has a beginning and end point (ex: Albany Ave & Homestead) Area – pertains to the space or boundary in which the project will take place. There is no point, building, or line (as defined above). If "area" is selected, describe the project site and its boundaries.
Primary Asset Type	New Building Building Improvements Infrastructure Land (including parks) Machinery and equipment Other (please describe below) If Asset Type is Other, please describe:

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CAPITAL IMPROVEMENT PLAN POLICIES & PROCEDURES

D. Sample Resolution

INTRODUCED BY:

COURT OF COMMON COUNCIL
City of Hartford, (DATE)

WHEREAS, The Local Capital Improvement Program (LoCIP) distributes funds to municipalities to reimburse the cost of eligible local capital improvement projects such as road, bridge or public building construction activities; and

WHEREAS, The City Council adopted a FY2022 CIP budget on June 22, 2021 that included \$2,070,000 in LOCIP dollars for Milling & Paving; and

WHEREAS, Milling & Paving is a program that will help repair and restore our city streets into a state of good repair and is an affordable solution for road restoration compared to complete demolition and repaving of the roads; now, therefore be it

RESOLVED, That the Hartford Court of Common Council hereby authorizes the Mayor of the City of Hartford to accept \$2,070,000 in LoCIP funds from the State of Connecticut, Office of Policy and Management and to program towards the "Milling and Paving" program in FY2022; and be it further

RESOLVED, That the Mayor is authorized to accept such further sums as may be additionally awarded by the grantor under the same program, for the same authorized contract period, and for the same purposes; and be it further

RESOLVED, That the Mayor is hereby authorized to execute any and all manner of documents and to take such other actions as he and the Corporation Counsel may deem appropriate and in the best interests of the City in order to receive, contract and expend the State of Connecticut, Office of Policy and Management LoCIP funds; and be it further

RESOLVED, That no person or entity shall be entitled to rely on, or otherwise claim any benefit by reason of this resolution should the Mayor fail to execute the aforementioned agreements or other documents, or to take any of the other aforesaid actions; and be it further

RESOLVED, That all approvals and authorizations provided hereby are contingent upon, and only shall be effective on and by means of, the Mayor executing such agreements and documents, and taking such actions, all of which shall be, in form and substance, acceptable to the Mayor and the Corporation Counsel.

CITY OF HARTFORD, CONNECTICUT
CAPITAL IMPROVEMENT PLAN POLICIES & PROCEDURES

E. Sample Change Order Cover Memo

CITY OF HARTFORD

INTERDEPARTMENTAL MEMORANDUM

March 24, 2021

To: Jennifer Hockenhill, Director Office of Management Budget and Grants

From: Michael T. Looney, Director of Public Works

RE: **Change Order No. 1; Metzger Learning Center Renovations** cc: M. Harrison
T. Chokas
S. Sheppard
F. Dellaripa
J. Jack

PURCHASE ORDER NO.: 20203885
CHANGE ORDER NO.: #1

This is a request for a Purchase Order Adjustment/Change Order to Purchase Order #20203885. ACORE Builders, LLC is performing construction services for the Metzger Learning Center Renovations. We are requesting an increase to this purchase order in the amount of \$32,225.24 to cover the cost of additional services relating to the addition of sinks and countertops in each classroom as well as the additional repairs to the exterior gutters. The funding source is bond CIP fund W2146.

Current Purchase Order Amount \$284,900.00
Revised Purchase Order Amount \$317,125.24

Please code this change order as follows:

Org: 43131150
Object: 572032
Project: W2146

If you have any questions, please feel free to contact Julia Jack (860) 936-0441.

Approved:

Frank Dellaripa, PE
City Engineer

Jennifer Hockenhill, Director Office of
Management Budget and Grants

Approved as to Form & Legality

Thea Montanez, Chief Operating Officer

Office of Corporation Counsel

CITY OF HARTFORD, CONNECTICUT
 CAPITAL IMPROVEMENT PLAN POLICIES & PROCEDURES

F. CIP Routing Table



CITY OF HARTFORD
LOCIP REIMBURSEMENT
ROUTING TABLE

Date:	
Initiating Department:	Finance
Contact Person & Telephone:	
Project #:	
Project Title:	
Term of Contract (start to end date):	
Grant Amount:	
Source of Funds (Grant):	
MUNIS Account Coding:	
Grantor:	State of CT – Office of Policy and Management
Council Resolution Date:	

	TITLE	SIGNATURE	DATE
1. Initiating Department			
2. Management & Budget <i>(CIP only)</i>	Director of M&B		
3. Mayor's Office	Chief Operating Officer*		

*Please Note: The Chief Operating Officer will deliver the agreement to the Mayor for signature.

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H. RACI Chart

RACI

Buildings, Parks, and Bridge Projects

DRAFT

R - Person responsible for the task
 A - Person accountable for the task
 C - Consulted.
 I - Kept informed

Task	Department Director	Deputy Director	Project Manager	MHIS	Community	Municipal Agencies	Professional Services Team	Contractor	Procurement Department	Finance Department
Stakeholder identification		[C]	[R]							
Stakeholder meeting coordination		[I]	[R]	[I]	[I]		[I]	[I]	[I]	
Project approvals and processing		[C]	[R]						[R]	[R]
Requests for Qualification/Request for Proposal preparation		[C]	[A]						[R]	
Pre-bid walkthroughs planning and coordination		[I]	[R]	[I]			[A]		[A]	
Change orders review and processing	[C]	[C]	[R]							[A]
Payment application review and processing	[C]	[C]	[R]							[A]
Contract development and document review		[I]	[R]						[R]	
Financial budgeting and tracking		[I]	[R]							
Contract administration oversight			[R]							
Municipal meetings related to Planning and Zoning, Board of Education, etc.		[I]	[I]				[R]			
Project closeout: document compilation, release of retainage, and final payment processing	[I]	[I]	[A]				[C]	[R]	[I]	[I]

CITY OF HARTFORD, CONNECTICUT
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I. CIP Project Process Check List

CIP PROJECT PROCESS CHECKLIST				
DATE	COMPLETED BY :	PROJECT DESCRIPTION	PROJECT/RFR NO:	STAFF INITIALS
		1. Study Phase by Designer or CoH		<input type="checkbox"/>
		2. PROJECT INTAKE & SCOPE VERIFICATION		
		<ul style="list-style-type: none"> • Review and verify project details • Confirm project scope, cost & schedule estimate • Identify priorities or important milestones • Confirm who the project stakeholders are • Meet with project stakeholders to confirm their project goals • Existing conditions assessment by CoH 		<input type="checkbox"/>
		3. FUNDING REQUEST		
		Confirm project funding source(s) / Request project funding		<input type="checkbox"/>
		4. DESIGN PHASE		
		Study Phase by Designer (if being hired to do a formal study)		<input type="checkbox"/>
		Designer Services (phases below may be abbreviated depending on the type of project)		<input type="checkbox"/>
		5. COH BIDDING		
		Bid Documents prepared by CoH PM		<input type="checkbox"/>
		Bid Released through CoH Procurement		<input type="checkbox"/>
		Bid Responses received by CoH Procurement		<input type="checkbox"/>
		Bid Evaluation		<input type="checkbox"/>
		Bid Award		<input type="checkbox"/>
		Contract review & signature meeting		<input type="checkbox"/>
		NTP		<input type="checkbox"/>
		Contract Signed & Finalized		<input type="checkbox"/>
		6. CONSTRUCTION		
		Pre-con meeting		
		Submittals		
		Schedule of Values		
		Project Schedule		
		Permits		
		Mobilization		
		7. Close Out		<input type="checkbox"/>
		8. FF+E/Occupancy/Move-In		<input type="checkbox"/>
		9. Post Occupancy		

K. Supplementary Information on Design Process

Schematic Design: These designs establish the site components and their respective locations. This phase most often involves community input from all users, a site survey, and geotechnical/site/soil analyses to inventory existing features and common site uses.

- The cost estimate at this stage will be a general estimation calculated by the area of the project site and/or the cost of the individual project components. The Schematic Design estimate allows the team to evaluate alternative options and make informed decisions. (Design contingency of 10% / Escalation of 5% per year)

Concept Design: This stage includes the refinement of the location of project components, the investigation of precedent images/renderings of the components, and creation of a material / plant palette. FF&E and technology requests may also be developed, and costs must align with the budget. This phase often involves community input and approval from City entities.

Design Development: The design of components is finalized through product selection and/or architectural plans. Planting plans (with locations and plant types) are also created. These designs are used to estimate the initial cost of the project.

- The Design Development estimate should verify that the project conforms to the original budget cap. (Design contingency of 5% / Escalation of 5% per year)

Construction Design: During this stage, architects will create documents (such as specifications and drawings) to be used for bidding and construction guidance. They include exact dimensions, materials, and estimated costs.

- Cost estimates at this stage are often performed more than once. For example, there will be an estimate at 50% of \ completion and another at 100% completion in order to address any overruns and to perform value engineering if necessary.
- At this stage, the documents are complete, the project is ready to bid, and the drawings should be accurate. Therefore, no design contingency or escalation is included in the estimate of costs. General conditions are approximately 10% of the construction costs.

Contingency Form: For the success of the Construction phase, the City should identify a healthy owner's contingency of between 5%-9% to cover unforeseen conditions and unforeseeable costs. The Contingency form will include guidance on determining these costs. The final project budget will be disclosed when released for bidding.

L. School Construction: Roles and Responsibilities

1. Board of Education - Roles and Responsibilities

- a. Recommends three (3) members to serve on the Hartford School Building Committee.
- b. Maintains a comprehensive long-range facility plan for the entire school system as prepared by the Executive Director of Facilities. The plan must be reviewed and modified at regular intervals to reflect program needs and changes in the system.
- c. Documents educational needs in the school district related to programs, enrollments, and facility conditions.
- d. Approves educational specifications for each school construction project as developed by the Superintendent.
- e. Requests approval for funding for school construction projects by the City Council.
- f. Reviews and approves plans and specifications per phase for each school construction project.
- g. Accepts school construction projects as complete and authorizes final submission of project close out documents.*

2. Superintendent of Schools - Roles and Responsibilities

- a. Serves as the single point of contact with Connecticut State Department of Administrative Services.
- b. Submits and signs necessary forms for school construction grant applications and submissions.
- c. Submits requests for reimbursement of project costs.
- d. Keeps the Commissioner of Administrative Services informed about school construction activities.
- e. Prepares agenda items for action by the Hartford Board of Education.
- f. Recommends Educational Specifications for approval by the Hartford Board of Education.
- g. Recommends plans and specifications for approval by the Hartford Board of Education.
- h. Recommends school construction projects for final acceptance and close out.

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3. Court of Common Council - Roles and Responsibilities

- a. Recommends three (3) members to serve on the Hartford School Building Committee.
- b. Establishes funding for school construction projects.
- c. Establishes appropriations to pay for school construction projects.
- d. Approves the acquisition of property for school construction projects, if applicable.
- e. Authorizes initiation of design.
- f. Approves the submission of school construction grant applications by Superintendent.
- g. Designates project to the Hartford School Building Committee.

4. Director of Operations - Roles and Responsibilities

- a. Represents the City as the Director of Operations and reports to the Mayor.
- b. Prepares all agenda items for presentation to the Court of Common Council.
- c. Provides support to the Hartford School Building Committee regarding school construction projects, including interface with all City Departments.
- d. Provides executive oversight over school project program management, owner's representative, and oversight functions on behalf of the Hartford School Building Committee.
- e. Serves as a liaison and coordinates between the City and the Hartford School Building Committee and the Office of School Construction Grants & Review regarding project status and new project development.
- f. Develops and implements an overall management plan to coordinate and manage existing and proposed school construction projects.
- g. Coordinates the planning and prioritization of new school construction projects with Superintendent.
- h. Participates during the bi-weekly meetings held by the Change Order/Bid Review Committee as an alternate member.

5. Executive Director of Facilities - Roles and Responsibilities

- a. Coordinates with the program managers, central office, and school-based administrators to ensure proper documentation of conditions, clear understanding of educational specifications, design development, plan approval, project execution, final commissioning, and project acceptance.
- b. Coordinates activities with other City and State agencies involving school construction projects as required.
- c. Participates as a voting member of the Bid Review/Change Order Committee.
- d. Participates as a member of Advisory Committees.

6. City Departments - Roles and Responsibilities

a. Finance

- i. Finance manages all financial matters related to school construction projects including establishment of funding instruments, payments for goods and services, receipt of reimbursement payments for the State of Connecticut and maintaining financial records.
- ii. Finance establishes and maintains individual funding sources and issues budget for each project.
- iii. Finance processes all invoices and payment applications for all school construction projects in a timely manner upon entry.
- iv. Finance reviews all change orders/purchase order increases as approved by the HSBC and confirms available budgets.

b. Department of Public Works

- i. Public Works enters in Munis all requisitions as approved by the Hartford School Building Committee.
- ii. Public Works houses the City Architect and City Engineer, whose duties are outlined later in this document.

c. Office of Management, Budget and Grants Administration

- i. Office of Management, Budget and Grants Administration reviews and approves payment reimbursement requests for all school construction projects.
- ii. Office of Management, Budget and Grants Administration reviews and recommends for approval to the Finance Director all change orders/purchase order increases for all school construction projects.

d. Procurement

- i. Procurement processes all purchase orders as approved by the HSBC.
- ii. Procurement processes all change orders/purchase order increases for all school construction projects as approved by the HSBC.

7. Office of School Construction - Grants and Review - Roles and Responsibilities

- a. Processes and approves Grant Applications for submission to Governor and Legislature.
- b. Issues Grant Commitment Letters.
- c. Schedules Request for Review of Plans.
- d. Reviews and approves plans and specifications for all school construction projects.
- e. Reviews and approves Notice of Change to School Construction Project.
- f. Provides financial support, disbursement of reimbursements, and final project audit and acceptance.
- g. Processes and approves requests for School Construction Progress Payment.
- h. Reviews and approves Change Orders & Change Order Summary.
- i. Submits project to the Office of Internal Audit upon filing of final progress payment.

8. School Program/Project Managers - Roles and Responsibilities

- a. Selected by the Hartford School Building Committee.
- b. Acts on behalf of the City as an extension of its staff,
- c. Provides project management oversight from programming through completion for individual projects.
- d. Provides project development management and services at the request of the HSBC.
- e. Assists in the selection process for professional services for each project including architects, construction managers, engineers, and other consultants.
- f. Coordinates and manages architects, engineers, and consultants during the design development of the plans and specifications for a school construction project.
- g. Provides construction management oversight during the construction phase of project.
- h. Develops Hartford School Building Committee agenda and necessary action items.
- i. Reports to the Hartford School Building Committee on a regular monthly basis regarding project status, change orders and budgets.
- j. Coordinates MWBE/EEO program oversight.
- k. Coordinates and maintains records and reporting data for MWBE/EEO compliance.
- l. Chairs MWBE Selection Committee, which evaluates Construction Manager compliance plan and adjudicates contractor appeals.
- m. Establishes and monitors overall project budget.
- n. Monitors and enforces the overall project schedule.
- o. Prepares state progress reimbursement requests for entry.
- p. Coordinates FF&E/Technology Procurement.
- q. Maintains project files and documentation.
- r. Prepares records for state audit.

9. Architects and Engineers - Roles and Responsibilities

- a. Provides design services to translate educational specifications / program needs into plans and specifications to satisfy the project needs.
- b. Meets with Advisory Committees, Hartford School Building Committee and Board of Education to explain design development.
- c. Submits plans and specifications to the Office of School Construction Grants and Review for approval. Makes revisions and modifications to satisfy State requirements.
- d. Participates in scope reviews of trade contracts.
- e. Provides contract administration during the construction phase of a project.
- f. Reviews contractor submittals and responds to requests for information.
- g. Reviews and approves monthly Construction Manager requisitions for payment.
- h. Provides quality control for construction projects.

10. Construction Manager - Roles and Responsibilities

- a. Provides pre-construction and construction phase services regarding estimating, scheduling, constructability, coordination, specification, and oversight of quality control.
- b. Defines and monitors construction budgets.
- c. Defines and monitors construction schedules.
- d. Solicits bids for project work.
- e. Recommends contract awards to various subcontractors.
- f. Provides and ensures a guaranteed maximum price (GMP) for the project work.
- g. Manages the construction activities which result in the transformation of the plans and specifications into the "bricks and mortar" to complete a school construction project.
- h. Oversees and coordinates activities of all subcontractors and suppliers who provide goods and services to complete a school construction project.
- i. Responds to and resolves all questions regarding the execution of the plans and specifications.
- j. Recommends changes to the contracts. Solicits bids for project work.
- k. Establishes and oversees safety programs for school construction projects.
- l. Reviews and authorizes monthly trade contractor requisitions for payment.
- m. Recommends final acceptance of project work.

11. Advisory Committees - Roles and Responsibilities

- a. Established for each school construction project to provide input during the design development of a school construction project. The committee is generally composed of the following twelve (12) individuals:

1 Chairperson	School Building Committee Chairman's designee
1 Vice Chairperson	School principal or building administrator
2 Teachers	Representing the various grade levels or departments
3 Parents	Including PTO representative
2 Buildings & Grounds Maintenance or Custodial Department representative	Including head custodian of the school
1 Program Manager	
1 Community Representative	NRZ Representative
1 City Representative	Director of Operations/Designee
1 Planner	Development Services - Planning

The committee members are subject to acceptance by the Mayor and the final approval of the Chairman of the HSBC.

- b. Meets regularly to review architect's development of plans and specifications, and is tasked with advising and collecting input from the entire school community.
- c. Provides input about program needs and user needs through acceptance of plans and specifications at the conclusion of schematic design, design development and construction documents phases of the design effort.
- d. Prioritizes components of project work to fit within project budgets.
- e. Disbands upon approval of plans and specifications by Board of Education.

12. Trade Contractor - Roles and Responsibilities

- a. Provide bids on the various components of a school construction project.
- b. Enter into contract with Construction Manager for a set dollar amount to provide labor and materials to construct the project.
- c. Provide proposals in response to changes in the contract for school construction projects.
- d. Participates in a safety program.
- e. Participates in HSBC Diversity Program.
- f. Completes punch list items.
- g. Commissions all systems and equipment.
- h. Provides as-built drawings and operating manuals.
- i. Warrantees project work for a set period.

13. Suppliers and Vendors - Roles and Responsibilities

- a. Provide goods, equipment or supplies to complete a school construction project based on public solicitation, state contracts or direct purchases.
- b. Enter into contracts with the Construction Manager or Hartford School Building Committee.
- c. Submit monthly requisitions for payment.
- d. Provide operating manuals and training for school district employees.
- e. Provide install, set-up and clean-up of goods and materials supplied.
- f. Replace broken or defective materials, equipment or supplies.
- g. Provide manufacturer and supplier warranties.