TOWN OF ELLINGTON

Finance Department

Purchasing Policies & Procedures Manual

Adopted March 11, 2024

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Introduction

1.1 Purpose

This Purchasing Policies and Procedures Manual (the "Manual") has been developed as a tool for Department Heads and other employees granted purchasing responsibilities for the Town of Ellington. Through adhering to the policies and practices described here within, all Town Stakeholders (Boards, Commissions, staff, residents, and the business community) shall be able to trust in a fair, simple, and transparent procurement system. The underlying purposes of the policies and practices set forth are:

- To obtain purchase contracts at the lowest available price utilizing the most economical procedures which will also provide for efficiency in the letting of contracts and in securing the best source for goods, services, and construction for public use.

- To provide for the fair and equitable treatment of all persons involved in public purchasing by the Town.

- To maximize the purchasing value of each public dollar spent; and

- To provide safeguards for maintaining a procurement system of quality and integrity.

1.2 Requirement of Good Faith

This Manual requires all parties involved in the negotiation, performance, or administration of Town Purchase Contracts to act in good faith (with honesty and sincere intent).

It is unethical to disclose the identity or information derived from competing proposals to any other vendor as doing so might provide an unfair advantage over a competing vendor.

All Town employees are governed by the provisions of this Manual whether directly or indirectly involved in a procurement transaction. Violation of these provisions may result in disciplinary action, which may include termination and/or criminal prosecution.

1.3 Applicability

This Manual supplements Chapter 28 of the Ellington Code of Ordinances and C-1109 of the Town of Ellington Charter and shall apply to the procurement of all goods, services, and construction required by departments for municipal services. When any procurement involves the expenditure of federal or state funds, the procurement shall also be conducted in accordance with any mandatory applicable federal and state laws or regulations.

1.4 Responsibility

The Finance Officer/Treasurer provides executive direction for the purchasing function as outlined in Chapter C-1109 of the Town of Ellington Charter. Under the authorization and direction of the Finance Officer/Treasurer, the Finance Department is responsible for the day-to-day administration of the Town's

purchasing function.

The Finance Officer/Treasurer provides recommendations and support to the Town Administrator and Board of Selectmen as it relates to purchasing. The Assistant Finance Officer provides recommendation and support to the Finance Officer/Treasurer and ultimately the Town Administrator and Board of Selectmen.

The Finance Department performs several daily tasks associated with administering and monitoring the Town's purchasing function. The Finance Department is responsible for processing purchase requests, issuing purchase orders, processing and reviewing Procurement Card transactions, assisting with the disposal of surplus property and performing a number of other tasks described herein.

The Department Heads are responsible for ensuring their department's purchasing activities are in accordance with Section C-1109 of the Town of Ellington Charter and 28 of the Ellington Code of Ordinances and the administrative rules, regulations and the policies and procedures set forth herein. Department Heads are further responsible for reviewing purchase requests from their staff to ensure such requests meet a valid municipal need and reflect the best interests of the Town.

Each department shall assign staff who are responsible for (1) determining the department purchases that are required, (2) identifying the best source for the needed purchases, and (3) initiating the purchase in accordance with the procedures set forth herein.

Purchasing Authority

2.1 Board of Selectmen

The responsibility for all purchases made by the Town of Ellington is held by the Board of Selectmen. Pursuant to Section C-1109 of the Town of Ellington Charter, no purchases shall be made by any office, agency, board or commission of the town, other than the Board of Education, except through procedures established by the Board of Selectmen.

2.2 Finance Officer

The Finance Officer is responsible for administering rules, regulations and procedures necessary for the cost-effective procurement of all goods, services, and construction; such rules, regulations and procedures shall be applicable to all Town employees. No voucher, claim or charge against the Town, except those by the Board of Education, shall be paid until the same has been audited by the Finance Officer and approved by him/her for correctness and validity. The Finance Officer or at the Finance Officer's direction, the Assistant Finance Officer, is further responsible for reviewing requisitions. In the event the Finance Officer or Assistant Finance Officer identify purchasing activity not in conformance with this policy, the following action shall be taken:

- Identify the employee responsible for the purchase;
- Provide remedial training as necessary to ensure the employee understands proper purchasing practices; and
- The Finance Officer or Assistant Finance Officer may restrict the purchasing privileges of such employees. The Finance Officer or Assistant Finance Officer shall inform the Town Administrator who may take disciplinary action and/or criminal prosecution, if necessary.

2.3 Department Heads

By authority of the Finance Officer, Department Heads are delegated purchasing authority and responsibility as set forth below:

Department Heads are given the responsibility of ensuring that (1) the procurement of all goods, services, and construction needed to support department operations is handled in accordance with purchasing polices and procedures manual and (2) all personnel in their department are knowledgeable of and fully understand the purchasing policies and procedure set forth in this Manual. By following the requirements established within this Manual, Department Heads may be able to make better use of budgeted funds for their department.

Department Heads shall be responsible for their department's expenditures and the resulting procedure.

Through prompt attention to invoices and receipts, the Town may take advantage of discounts and bills can be paid to avoid late charges. Department Heads shall ensure that deliveries are carefully accounted for and inspected to make certain they are in good condition and the proper quantities have been received. Any damage(s) or shortage(s) on received shipments should be noted on the freight receipt and immediately reported to the supplier.

Department Heads may delegate purchasing authority and authorize department personnel to purchase goods, services, and construction, as needed to support department operations. If applicable, the Department Head must inform the Finance Department of the individual delegated with this authority.

2.4 Finance Department

By authority of the Board of Selectmen, the Finance Department shall serve as the principal public office for the Town in administering the purchasing function and is granted authority and responsibility for the following:

With Board of Selectmen approval, to contract for or provide oversight for the procurement of all goods, services, and construction requested by any Town department in accordance with Section 604 of the Ellington Town Charter, the administrative rules, regulations and procedures set forth herein and such programs and practices as may be adopted by the Finance Department for the internal management of Town procurement;

Goods, Services, and Construction: Responsible for providing guidance as to the most appropriate method of Source Selection and reviewing requisitions as identified in this Manual;

Act to procure for the Town the highest quality in goods, services, and construction at the lowest or best available price taking into consideration the experience, expertise, references, and past performance of a bidder;

Discourage uniform bidding and endeavor to obtain full and open competition for all purchases, except when otherwise exempt by Chapter 28 of the Ellington Code of Ordinances or Section 1111 of the Town of Ellington Charter;

Propose amendments to the rules, regulations and procedures set forth in this Manual for consideration and

approval by the Board of Selectmen;

Keep informed on current developments in the field of public purchasing and secure for the Town the benefits of research done in the field of purchasing by other governmental agencies, national technical societies, trade associations having national recognition, and by private business organizations;

Maintain forms as found reasonably necessary for compliance with Chapter 28 of the Ellington Code of Ordinances, C-1109 of Ellington Town Charter, and this Manual;

Prepare and maintain a file of current and potential vendors for Town solicitations within the accounting system; and

When in the best interest of the Town, participate in, sponsor, conduct or administer cooperative purchasing agreements with the State or other governmental units.

2.5 Authority to Contract

All purchase contracts shall be awarded by the Board of Selectmen.

2.6 Purchasing/Contracting Review and Approval Matrix

The Purchasing/Contract Review and Approval Matrix on the next page summarizes the required approvals associated with all Town purchases.

Purchasing/Contracting Review & Approval Matrix

Finance Department Review/Approval Required for all Purchase Requests and P-Card Transactions

Information Systems Department Review/Approval Required for all Hardware/Software Requests

Item No	Types of Purchases	Department Head	Finance Officer	Bid/RFP/RFQ/Waiver	First Selectman	Board of Selectmen	Permanent Building
$40,000 and over Acquisition and Construction							
1	Construction and acquisition over $40,000	Required	Required	Required	Required	Motion Required	Motion Required
$25,000 or More and Less than $40,000 Acquisition and Construction							
2	Construction and acquisition over $25,000, less than $40,000 supported by a contract contract established by another government entity	Required	Required	Required	Required		
3	Construction and acquisition over $25,000, less than $40,000 not supported by a contract contract established by a government entity	Required	Required	Required	Required	Motion Required	
$25,000 or More excluding Acquisition and Construction							
4	All Purchase Requests of $25,000 or more supported by a contract established by another government entity	Required	Required	Required	Required		
5	All Purchase Requests of $25,000 or more not supported by a contract established by another government entity	Required	Required	Required	Required	Motion Required	
$5,000 or More and Less than $25,000							
6	All Purchase Requests of $5,000 or more supported by three quotes	Required	Required				
7	All Purchase Requests of $5,000 or more not supported by three quotes	Required	Required		Required		
Less Than $5,000							
8	All Purchases Requests less than $5,000 (written quotes optional)	Required					
9	All P-Card Transactions	Required					
Hardware/Software Maintenance Agreements							
10	All Purchase Requests for Maintenance of Proprietary Hardware and Software Applications	Required	Required		Required	Motion Required	
Real Estate							
11	All purchases of Real Estate over $40,000	Required	Required		Required	Motion Required	Motion Required
12	All purchases of Real Estate less than $40,000	Required	Required		Required	Motion Required	
Tuition Reimbursement							
13	All Purchase Requests for Tuition Reimbursement	Required	Required		Required		

Ethics in Public Purchasing

3.1 General Statement

As representatives of the Town of Ellington and employees of the public sector, a high level of ethical behavior shall be practiced at all times. Staff shall be effective and resourceful stewards of Town funds and utilize the utmost care in expending these funds for public purposes as stated in the Town of Ellington Code of Ethics.

3.2 General Standards of Ethical Conduct

General Ethical Standards for Employees: Any attempt to realize personal gain through public employment by conduct inconsistent with the proper discharge of a Town employee's duties is a violation of this Article and may be a violation of the Ellington Code of Ethics.

3.3 Conflict of Interest

It shall be a violation of this Section for any employee to participate directly or indirectly in a procurement transaction when the employee has an ownership, employment, prospective employment, or family interest pertaining to the procurement transaction.

As defined in Ellington Code of Conduct, upon discovery of an actual or potential conflict of interest, an employee shall promptly notify the Finance Officer, disclose the conflict in writing, and withdraw from further participation in the transaction involved.

As defined in Ellington Code of Conduct, upon discovery of an actual or potential conflict of interest, a public official shall promptly notify the Town Clerk, disclose the conflict in writing, and shall withdraw from participation in the decision-making process.

In addition to existing administrative and legal remedies for breach of ethical standards, improper use of real or apparent purchasing authority may result in disciplinary action, up to and including, termination of employment.

3.4 Vendor Requirements

The Town of Ellington requires vendors participating in procurement transactions to meet the following ethical requirements.

All contractors, prospective contractors, and subcontractors shall inform the Town of any personal interest of any public official with respect to any Town procurement.

No contractor, prospective contractor, or subcontractor shall give, demand, or receive from any suppliers, subcontractors or competitors any bribe or kickback or anything of value in return for participation in a procurement transaction or agreeing not to compete in a transaction.

Any attempt by a contractor, prospective contractor, or subcontractor to improperly influence a public official, employee or former employee may result in termination, disqualification or suspension from Town contracts.

3.5 Debriefing of Vendors

Depending on the dollar amount of a contract and its complexity, debriefing of vendors may be appropriate. Should debriefings occur prior to award, discussions should be limited only to the vendor's quote, bid or proposal. Information derived from other proposals and pricing is discussed only after the award of a contract or after negotiations for the award have ended. Utilizing information from a vendor's quote, bid or proposal to negotiate a better deal with a competing vendor is unethical and a violation of Town policy as well as contrary to the Town's goal of promoting fair and open competition.

3.6 Purchases from Employees and Town Officials (May not receive additional compensation):

No Town Official or employee shall solicit or receive any pay, commission, money, or thing of value, or derive any benefit, profit, or advantage, directly or indirectly, from or by reason of employment by the Town, except his/her lawful compensation or salary as such officer or employee.

Social Responsibility

4.1 Introduction

Pursuant to the Town's ongoing initiative to promote diversity through decisions, policies and programs, this Manual seeks to utilize the Town's spending as a tool to further social change. Socially responsible activities associated with the procurement function, include, but are not limited to, initiatives related to the environment, equal employment opportunity, community philanthropy, and supplier diversity.

4.2 Environment

The Town's Finance Officer shall work with the Town's Sustainable CT team in an effort to promote and develop environmentally responsible procurement practices in alignment with Team goals.

4.3 Equal Employment Opportunity

Town Purchase Contracts shall encourage diverse employment practices from the supplier community as well as deter discrimination by requiring, as a condition of the contract, that no contractor, subcontractor, or any person acting on his/her behalf shall, by reason of race, color, religion, sex, national origin, age, familial status, disability, pregnancy, sexual orientation, gender identity, or gender expression, or any prohibition provided by federal or state law, discriminate against any citizen of the State in the employment of labor or workers who are qualified and available.

4.4 Community Philanthropy

Where practicable and in agreement with Section 19 of this Manual, the Finance Department may recommend to the Town Administrator or Board of Selectmen the donation of surplus Town assets for the benefit of other municipal entities or 501(c)(3) charitable organizations.

4.5 Supplier Development and Diversity

Where practicable and in compliance with these Purchasing Policies and Procedures, the Finance Department shall work to develop and diversify the Town's supplier base through (1) participation in supplier outreach

events and (2) publicly advertising competitive opportunities of $25,000+ on the Town website's and providing notice of such opportunities to groups advocating for small businesses, MBEs, and LGBTQ+ businesses.

Purchasing and Requisitioning Cycle

5.1 Introduction

The core of the purchasing system is the Purchase Request. An electronic Purchase Request shall be used for the acquisition of all goods, services, and construction over $5,000. P-Card transactions, check requisitions/direct pay invoices will be limited to purchases less than $5,000.00.

5.2 Anticipation of Needs

Requesting departments should prepare a Purchase Request far enough in advance so ordinary purchases do not become emergencies. By planning and forecasting purchases in advance, the Finance Department, vendors and requesting departments may realize the advantages of soliciting competitive quotations, bids or proposals.

Required delivery dates on goods and services vary greatly and Purchase Requests should be prepared accordingly. Departments should realize unnecessary work delays could be created if Purchase Requests are not presented in a timely manner.

5.3 When to Use a Purchase Request

With the exception of small-dollar items purchased with a P-Card or check requisition/direct pay invoice, Purchase Requests are required for the purchase of all goods, services, and construction over $5,000.

5.4 How to Prepare a Purchase Request

The department needing/desiring a product or service must complete an electronic Purchase Request. The Purchase Request initiates the procurement process and identifies the requestor, vendor, commodity, and accounting information. Funds for the purchase must have already been appropriated through the Town's budget process prior to making the purchase. The electronic Purchase Request should include a detailed description of the goods, services, or construction needed. Once completed, the electronic Purchase Request, along with any needed supporting documents/attachments, should be approved by the individual inputting the request and routed via Infinite Visions workflow for further consideration.

All appropriate fields should be completed by department staff, including a complete description, unit cost(s), extended cost(s) and necessary vendor information. A description of the needed goods or services is vital to the procurement process. Care should be given to provide a clear description of the item desired as to size, color, type, grade and any other pertinent information.

Purchase Requests should be supported by a quotation from the selected vendor and at least two (2) other competitive quotations from other qualified vendors. Should there be a reason why pursuing competition is not practicable (such as the availability of a cooperative purchasing contract, an emergency purchase, a sole source or single source purchase, etc.) supporting documentation should be attached detailing such exception to competition with First Selectman approval.

5.5 Pre-Encumbrance

Funds associated with a Purchase Request are pre-encumbered at the time that the Purchase Request is routed through the approval process. Please note that a pre-encumbrance does not guarantee the Purchase Request will be approved.

5.6 Finance Department Responsibility

The Finance Department shall promptly review all Purchase Requests pursuant to the administrative rules, regulations and procedures set forth herein (and other applicable professional purchasing practices) in order to acquire all goods, services, and construction in a timely manner.

All invoices shall be submitted no later than Tuesday at noon of the non-payroll week for bi-weekly accounts payable check runs. Accounts Payable items must include an original invoice if applicable, appropriate charge code and Department Head signature. Reimbursements must include all applicable documentation for the reimbursement. Mileage Reimbursements are not to exceed $5,000, must be submitted at least monthly and include Mileage Reimbursement Request Form, MapQuest with mileage, along with up-to-date insurance/license documentation.

The Town will not reimburse for purchased gift cards. The purchase of gift cards on a Town account is prohibited.

Purchase Orders

6.1 Purpose

A purchase order is a document that states the terms and conditions of a proposed transaction and creates a contractual relationship between a vendor and the Town. It describes the quantity and quality of the required goods, services, or construction and includes other information, such as shipping terms, delivery dates and location and prices in the quote, bid or proposal. The purchase order in conjunction with the encumbrance accounting system shall encumber the necessary funds from the applicable appropriations account.

6.2 When to Use a Purchase Order

Purchase orders are required prior to the receipt of invoices and the delivery of goods, services, and construction over $5,000 and are issued after the Purchase Request is approved.

6.3 Subsequent Changes or Cancellations

Whenever a change of any kind on a purchase order is required, the originating department shall initiate a Change Order in Infinite Visions that provides the information to be changed.

6.4 Receiving Procedure

When goods are delivered to the department, the authorized agent of the department, as assigned by the Department Head, shall inventory and inspect the delivery to ensure the goods are as listed on the shipping document and are in acceptable condition. If goods received are damaged or defective, they should not be used, and it may be necessary to decline acceptance of the delivery. If possible, a notation should be made

upon the receipt in the presence of the delivery agent.

6.5 Acceptance and Payment

Once goods, services, and construction have been delivered to the complete satisfaction of the Town, the department in receipt of the products or services must submit invoice with appropriate account code, PO number and Department Head signature to the Finance Department for payment processing.

Procurement Cards (P-Cards)

7.1 Purpose

The intent of the Town's Procurement Card (P-Card) Program is to improve the efficiency of high volume, low dollar amount purchases, while reducing transaction costs and maintaining integrity and control of the purchasing process.

7.2 When to Use a P-Card

P-Cards are a payment tool and represent the preferred (and most economical) means of acquiring and paying for GOODS with a purchase price below $5,000.00. P-Cards are also a useful tool in paying sundry renewal fees for professional dues and subscriptions, as well as training and travel-related expenses.

Chapter 7 of the Town's Personnel Rules requires an Approved Training and Development Request form to be completed prior to booking any travel, registration and lodging expenses to be paid for by the Town.

All P-Cards include the Town's name and federal tax ID number. The cards include embedded restrictions designed to protect cardholders and the Town of Ellington. Such restrictions include but are not limited to the following.

Merchant Category Code (MCC) grouping restrictions that exist to inhibit the use of P-Cards for unauthorized travel, food, and entertainment related expenses.

Standardized spending limits also apply, monthly purchase limits ($1,000/$5,000 depending on threshold assigned).

Use of a P-Card for acquiring and paying for GOODS totaling $5,000.00 or more requires planning on the part of the cardholder. Such transactions require consultation with the Finance Department and modification to standardized spending limits.

The Finance Department is responsible for regularly monitoring spending data to make certain that the use of P- Cards and competition aligns with the Town's administrative rules, regulations and procedures and promotes the acquisition of goods at the lowest practicable price utilizing the most economical procedures. Per the Town's Commercial P-Card Program Manual (see Section 20), prior approval is needed for certain GOODS, such as uniform items, promotional items, technology items, and food.

7.3 When Not to Use a P-Card

Generally, a P-Card shall not be used for acquiring and paying for SERVICES or CONSTRUCTION, regardless of

the dollar amount. In the unlikely event that a P-Card is the only means of acquiring and paying for SERVICES and CONSTRUCTION, planning is required on the part of the cardholder. Such transactions require consultation with the Finance Department.

P-Cards shall not be used to purchase gift cards.

7.4 Obtaining a P-Card

P-Cards are issued to employees at the request of the Department Head and issued upon the approval of the Town Administrator/First Selectman. An employee's signature on the cardholder agreement form indicates understanding of the intent of the program and represents the employee's promise and agreement to adhere to the guidelines established for the program.

7.5 Record Keeping

Record keeping is essential to ensuring the integrity and success of the P-Card program. Each department, in which cards are issued, may designate an employee as a "P-Card Administrator"; the Department Head shall notify the Finance Department of the designated individual. This employee will monitor the status of the department's various cards, and will be responsible for collecting receipts, electronically reconciling them to the charges on the card, ensuring cardholder resolution of any disputes, and uploading transaction receipts to the Finance Department within the required timeframe.

Departments that do not assign a "P-Card Administrator" shall require each card holding employee to comply with the above individual record keeping responsibilities.

7.6 Additional Guidance

The Town's Commercial P-Card Program Manual (see Section 20) provides additional guidelines and procedures under which the P- Card may be utilized.

Methods and Procedures for Sourcing

8.1 Informal Source Selection for Purchases less than $25,000.00

Purchase of goods, services, and construction of less than $25,000.00 may be made in accordance with the procedures set forth in this Section.

Purchases shall be made in the open market. In most instances, department staff should obtain quotes from at least three (3) qualified vendors. Purchases of goods, services, and construction shall be awarded to the vendor supplying the lowest and best quote. The quotes shall be uploaded to iVisions when requesting purchase requisition.

The following table summarizes the requirements for Informal Source Selection at various dollar thresholds:

Dollar Threshold	Goods	Services	Construction
Less than $1,000 Competitive source selection is typically not cost-effective within this threshold.	The preferred (and most economical) method for acquiring and paying for GOODS less than $1,000.00 is use of a P-Card.	The preferred method for acquiring SERVICES less than $1,000.00 is direct pay invoices.	The preferred method for acquiring CONSTRUCTION services less than $1,000.00 is direct pay invoices.
$1,000 or More & Less than $5,000 Competitive source selection may not be cost-effective within this threshold and is not required.	The preferred method for acquiring GOODS between $1,000.00 and $4,999.99 is direct pay invoices.	The preferred method for acquiring SERVICES between $1,000.00 and $4,999.99 is direct pay invoices.	The preferred method for acquiring CONSTRUCTION services between $1,000.00 and $4,999.99 is direct pay invoices.
$5,000 or More & Less than $25,000 There is a proven cost benefit to seeking competition within this threshold; Informal Source Selection procedures should be utilized.	The preferred method for acquiring GOODS between $5,000.00 and $24,999.99 is use of a Purchase Request. Such purchase requests should be accompanied by at least 3 competitive quotes or an explanation as to why quotes could not be obtained.*	The preferred method for acquiring SERVICES between $5,000 and $24,999.99 is use of a Purchase Request. Such purchase requests should be accompanied by at least 3 competitive quotes or an explanation as to why quotes could not be obtained.*	The preferred method for acquiring CONSTRUCTION between $2,500.00 and $24,999.99 is use of a Purchase Request. Such purchase requests should be accompanied by at least 3 competitive quotes or an explanation as to why quotes could not be obtained.*

* The need for competition for purchases over $25,000 may be waived by the Finance Department and the Town Administrator with Board of Selectmen approval on a case-by-case basis in certain circumstances, including, but not limited to, sole source purchases (BOS approval required), single source purchases (BOS approval required), emergency situation (BOS approval required), and the use of cooperative contracts where price has been established by another government agency.

* In cases when quotes could not be obtained, require First Selectman approval.

8.2 Informal Source Selection Resources

In order to assist departmental staff in securing the best source for goods, services, and construction in a cost-effective manner, the Finance Department has partnered with a number of public agencies and private organizations to develop a catalog of sourcing tools; including, but not limited to the following.

The State of Connecticut all-inclusive website at https://portal.ct.gov/DAS/CTSource/ctsource (see Section 20 for a "how-to guide" detailing use of this site).

CRCOG (Capital Region Council of Governments) website at https://crcog.org/rfp-rfq/

8.3 Formal Source Selection for Purchases of $25,000 or more (please refer to Chapter 28 of Ellington Code of Ordinance)

Scheduling Of Formal Source Selection

For all purchases of $25,000.00 or more, department staff should contact the Finance Department to discuss the most appropriate means of Formal Source Selection (Competitive Sealed Bidding or Competitive Proposals). Working backwards, the necessary bid opening, advertising, and legal review can be coordinated. The legal advertising period required is at least 10 calendar days. Therefore, a minimum of 10 calendar days must transpire from the first advertisement date to the date of the actual bid opening.

Compilation Of Draft Specifications

Department staff and/or professional service firms shall develop the technical and general specifications / scope of work (including drawings) necessary to support the Formal Source Selection process. See Section 9.3 of this Manual. In addition, department staff should provide the Finance Department with the following:

- Account numbers where item has been budgeted
- Amount budgeted for the project
- Estimates of Cost for the Base Bid and any Alternates
- Requested Date/Time of a Mandatory Pre-Bid Meeting
- Anticipated date of substantial completion of the project

The Finance Department will provide the necessary front-end documentation.

Review Of Bid Package

The Finance Department will work with department staff to finalize the necessary front-end documentation and to review the technical specifications to ensure that the document is in compliance with Chapter 28 of the Ellington Code of Ordinances governing contracting and competitive procurement, the Connecticut Revised Code where appropriate, and that it adheres to sound purchasing guidelines. This review is also intended to ensure that the contract documents are accurate, clear and concise to reduce the potential for challenges.

Legal Advertisement

The Finance Department will work with department staff to coordinate the placement of the legal advertisement on the Town's website and in a publication of general circulation, the number of times that the advertisement should be run, and the number of days between initial advertisement placement and bid opening (at least 10 days are necessary). The Finance Department will charge the appropriate account and place the legal advertisement(s).

Addendum Requirements

Department staff should notify the Finance Department immediately if the need to issue an addendum arises. If the need to issue an addendum does exist, it must be released no later than 72 hours prior to the scheduled deadline for the receipt of Bids or Offers. Please communicate your needs to the Finance Department as soon as possible, so that the project is not delayed. If an addendum is issued within the said 72-hour period, the due date for the receipt of Bids or Offers will be delayed at least 3 calendar days with no additional advertising necessary. The Finance Department will coordinate and ensure that prospective bidders have been notified.

Opening Date, Time, Location

The Finance Department will coordinate and schedule the due date for the receipt of Bids or Offers with department staff and the opening date, time, and location (if necessary).

Mandatory Pre-Bid Meetings

The Finance Department requires that all Solicitations must hold a mandatory pre-bid meeting. The Finance Department and/or Project Coordinator will be present to provide procedural instructions and to answer any questions pertaining to the Town's Request for Bids, Request for Proposals, or Request for Quotations.

Bid Opening

The Finance Department will schedule and manage the bid opening. Respective Project Coordinator and department staff are encouraged to attend.

Bid Summary/Tabulation

Original bids will remain with the Finance Department at all times. If needed, the original bids will be scanned by the Finance Department after the bid opening and an electronic copy provided to department staff to assist them in their review and analysis. The Finance Department will develop a Bid Tabulation that details quantities bid and unit prices available within 24 hours of the bid opening.

Bid Review and Analysis

The Finance Department will review the bid to ensure bidders are responsive and in compliance with the contract documents. Department staff will provide recommendations to the Finance Department of alternate selections, if applicable, and analyze the bid proposals to determine that bidders are responsible. This responsibility check may include contacting the references provided by the bidder, researching their experience with projects of similar size and scope, contacting other public authorities, visiting the bidders' place of operation, etc. The Finance Department will assist in this process as required. In the event that an outside organization is procured to serve as an Architectural/Engineering professional, their analysis may be required and included in the review process. The Finance Department will develop a formal bid tabulation that will be made available to all bidders requesting such information.

Award Recommendation

An award recommendation for the Board of Selectmen will be developed by the department and forwarded to the Finance Office for review. Once the report is finalized to the satisfaction of department staff and the Finance Department, the report will be distributed to the Board of Selectmen, along with a formal bid summary. It is the responsibility of department staff to make the presentation to Board of Selectmen; identifying staff's recommendation of the lowest and best Bidder or Offeror. If this is not possible or desired, department staff may request that the Finance Department make the presentation.

Execution of Agreement

After the Board of Selectmen has authorized an award, the Finance Department will initiate the necessary steps for successful execution of an agreement. This will include drafting of the Owner-Contractor Agreement,

Notice of Award, Notice of Commencement (if applicable), Notice to Proceed (if applicable), and Surety Notification (if applicable) and obtaining all required contract forms. Copies of these documents will be scanned and stored on the Town's shared drive.

The requesting Department will create a Purchase Request, coding it to the appropriate account.

Pre-Construction Meeting

Department staff will initiate a pre-construction meeting, if applicable.

Management Of Project

Department staff will serve as project managers, with assistance from the Finance Department if requested.

Prevailing Wage (If Applicable)

The State of Connecticut has established prevailing wage thresholds for public improvement projects. As of October 31, 2017, the threshold for new construction is $1,000,000.00 and the threshold for renovation is $100,000.00. Prevailing Wages are adjusted annually by the State of Connecticut.

The Finance Department will work with the State of Connecticut in determining if prevailing wages are applicable to the department's improvement project. If applicable, the Finance Department will supply the current prevailing wage documentation for the contract documents, including Prevailing Wage Determination Cover Letter, Prevailing Wage Contractor Responsibilities, Instructions for Preparing Certified Payroll Reports, Affidavit of Contractor Compliance and Current Prevailing Wage Rates.

The Finance Department will send updated notifications to the prime contractor of any changes in prevailing wage rates as required by State law and Federal law (where applicable). All certified payroll reports and associated documentation will be received by the Finance Department and maintained as required. The Finance Department will follow up with the general contractor in the event of missing general contractor or subcontractor information and will certify that all prevailing wage requirements have been met, prior to the release of final payment.

Progress Meetings

Department staff will schedule and conduct progress meetings as needed. The Finance Department will attend any progress meetings, as needed, to address contractual procedure or prevailing wage issues.

Change Order

Any change in the scope of the contract that affects the contract price or contract time requires a change order. In the event of any issues or dispute, the Town Administrator or his/her designee shall determine whether or not a change falls within the scope of the contract and whether a change order is necessary. Pending this determination, change orders will be forwarded to the Finance Department for certification. The Change Order will be maintained in the official project file.

Progress Payment

Department staff will receive and approve progress pay requests from the prime contractor and forward them to the Finance Department for certification. Once the payment application has been signed by the contractor, the number of days that the Town has to make payment commences.

Maintenance Of File

The Finance Department will manage the contract file (i.e. original agreement, original affidavits, change orders). The departments shall maintain their own project file with maps, drawings, etc.

Final Payment Request

Department staff will receive and approve final payment requests and forward them to the Finance Department for certification. The Finance Department will review all final pay requests prior to approval by the Town Administrator for compliance with income tax and prevailing wage requirements.

Utilization Of Performance/Payment Bond And Claim/Lien Filings

The Finance Department will work with the department in cases where the contractor has failed to perform as specified in the contract, ceases to operate as a business, or in cases where liens or claims have been filed against the project. The Finance Department will provide the necessary notification as required by the Connecticut Revised Code to the general contractor of the receipt of a lien or claim and working with department staff to contact sureties to settle performance or payment problems.

8.4 Waiving Formal Source Selection

Chapter 28 of the Ellington Code of Ordinances does allow for the waiving of Formal Source Selection in certain instances. Waiving Formal Source Selection for purchases of $25,000.00 or more requires Board of Selectmen action. Prior to recommending action to the Board of Selectmen, department staff must notify the Finance Department and allow sufficient time to ensure that the requested action is in compliance with Chapter 28 of the Ellington Code of Ordinances. The Town Administrator and Finance Department approval are required, and department staff should work with the Finance Department in developing an Award Recommendation to the Board of Selectmen.

Specifications

9.1 Specifications

The term, “specifications” refers to that portion of a solicitation that describes the required characteristics of a good, service or construction. It is used interchangeably with the terms, “purchase description,” “purchase specification,” “purchase requirement,” “commercial item description,” “scope of work” and “statement of work.” A specification may include requirements for samples, prototypes, inspection, testing, warranty and packaging. Typically, the specification portion of a solicitation should not include bidding instructions, contractual terms and conditions, delivery, pricing formats or similar material. The specifications are the communication medium between the purchaser and the seller and the basis on which solicitations are prepared. Specifications should be definite and precise to eliminate the possibility of misunderstanding on the part of the vendor or the purchaser.

Specifications, which call for only one “brand or trade name” item to be furnished, should not be issued unless prior approval is granted by the Finance Department. “Brand names” may be used to establish an acceptable or minimum standard that all vendors must meet or exceed.

In considering and developing specifications, it should be remembered that expenditures derived from public sources and administered by public bodies should not be expected to provide luxurious levels of quality. Therefore, the general policy of purchasing good, standard grades of merchandise, which represent an optimum difference between quality and price and provide a satisfactory level of service shall be followed.

9.2 Authority for Specifications

The Finance Officer will work with department staff, if required, to develop specifications, but generally specifications should be developed in accordance with Section 8.3. Since the purpose of a specification is to translate a user’s need into the delivery of a goods, services, or construction, the development of specifications must be a cooperative effort between the department and the Finance Department. However, prior to release of a specification as part of a solicitation, the Finance Officer must be satisfied that it shall result in a fair and equitable competitive procurement process.

9.3 Types of Specifications

There are several types of specifications; the development, selection and use of a particular type is dependent on the goods/services being solicited, situation, time, information available and needs of the user.

Design specifications establish the characteristics that an item must possess; employing dimensional and other physical requirements and concentrating on how a product is fabricated, rather than on what it should do. Design specifications are normally prepared by architects and engineers for construction or custom manufactured products and are the preferred specification for Competitive Sealed Bidding. Among the ingredients of a design specification would be the following:

- Dimensions, tolerances and specific manufacturing or construction processes;
- References to a manufacturer’s brand name or model number; and
- Use of drawings and other detailed instructions to describe the product.

Performance specifications provide a general functional recital of performance characteristics required to achieve an end result or outcome desired. Performance specifications communicate what a product is to do, rather than how it is to be built, and are the preferred specification for Competitive Proposals and/or a Request for Proposals (RFP). Among the ingredients of a performance specification would be the following:

- A general nomenclature or description;
- Required performance characteristics (minimum/maximum) to include speed, storage, production capacity, usage, ability to perform a specific function;
- Operational requirements, such as limitations on environment, water or air cooling, electrical requirements;
- Site preparation requirements for which the contractor shall be responsible, such as electricity, plumbing or for which the Town shall be responsible;
- Compatibility requirements with existing equipment or programs;

- Conversion requirements for maintaining a current equipment or system until switching to the new equipment or system;
- Installation requirements;
- Delivery date;
- Maintenance requirements;
- Supplies and parts requirements;
- Quantity and method of pricing;
- Warranty; and
- Service location and response time.

Performance specifications can also be applied to the delivery of services. Among the ingredients of a performance specification for services would be the following:

- General requirements (contractor's responsibilities);
- Specific requirements (tasks, sub-tasks, parameters and limitations);
- Details of work environment;
- Minimum or desired qualifications;
- Amount of service needed;
- Expected results;
- Location of service;
- Definition of service unit;
- Time limitations;
- Travel regulations or restrictions;
- Special equipment required;
- Other factors affecting working environment; and
- Identification of Town provided materials or services.

Combination design and performance specifications incorporate, to the degree necessary, the attributes of both design and performance specifications. Combination design and performance specifications allow for an optimum between quality and price for specialized procurements.

Brand name specifications are a descriptive form of specification whereby the good or product is described by a unique identifier specific to a particular seller or manufacturer that distinguishes it from its competition. Using a seller or manufacturers' brand name and/or identifying model numbers to describe the standards of quality, performance and other characteristics needed to meet the requirements of a Solicitation tends to limit competition and exclude other options.

When a brand name specification is used to describe the standard of quality and/or performance of a good or product in lieu of a description of its physical or functional characteristics, the Solicitation should contain explanatory language that the use of the brand name is for the purpose of describing the standard desired and that the substitution of equivalent materials is permitted.

Brand name specifications without an equivalent option should be used only when the Finance Department has determined that sufficient sources of competition exist for the procurement of the material and that the use of the brand name specification is not intended to limit or restrict full and open competition.

9.4 Specifications Dos and "Don'ts"

DO'S:

- Use the word "must" or "shall" to describe a command or mandatory requirement ;
- Use the words "should" or "may" to describe an advisory or optional requirement;
- Be specific and detailed in presenting mandatory requirements; and
- State a requirement of fact once and avoid duplication.

DON'TS:

- Present something as mandatory if it is really only optional;
- Write specifications or scope of work that restrict response to a single vendor; and
- Place administrative or contractual terms in the specification portion of the document.

9.5 Preparation of Specifications

All specifications shall be drafted so as to promote overall economy for the purposes intended and to encourage full and open competition in satisfying the Town's needs and shall not be unduly restrictive. The policy enunciated in this Section applies to all specifications including, but not limited to, those prepared for the Town by independent architects, engineers, designers and draftsmen.

9.6 Changing Specifications

Once solicitations have been posted, no changes in the specifications may be made unless all prospective vendors are notified of the changes through an addendum.

Once a decision has been reached on the specification(s), all quotes/bids/offers must be based upon the same specifications and no vendor has a right to substitute other specifications for those contained in the solicitation.

Procurement of Construction

10.1 Authority

The Town Administrator, in consultation with Finance Officer and the appropriate Town Department Head, shall have discretion to select the appropriate project delivery method. In determining which method to use, the Town's requirements, its resources, and the capabilities of potential contractors shall be taken into consideration. Pursuant to Chapter 28 of the Ellington Code of Ordinances, Competitive Sealed Bidding is the most common method of Formal Source Selection for expenditures of $25,000.00 or more, including sourcing/delivery of construction projects.

10.2 Bid Security, Contract Performance, and Payment Bonds

Bid security shall be required for all construction contracts in excess of $100,000.00 stemming from Competitive Sealed Bidding. The recommended form of Bid security is a Surety Bond in the full amount of the

bid, including all add alternates. Other acceptable forms of Bid security include a certified check, cashier's check, or letter of credit equal to ten percent (10%) of the bid plus all add alternates. Bid security issued in bond form, shall be issued by a surety company or corporation licensed in the State of Connecticut to provide said surety. In case a certified check is given, it shall be drawn payable to the order of the Town.

Following Bid award, a Purchase Contract must be executed, and a satisfactory Performance/Payment Bond furnished, conditioned according to law in the amount of one hundred percent (100%) of the contract price. Sureties on all bonds must be satisfactory to the Town.

10.3 Insurance

Contractor's Insurance: Contractors and the contractor's subcontractors performing any construction work for the Town shall maintain for the duration of the project and any extensions thereof insurance coverage as specified by the Town.

10.4 Federal Policies

When procuring property and/or services under a Federal award, the Town will comply with relevant regulations in the Code of Federal Regulations, as described in 2 C.F.R. § 200.318 through 2 C.F.R. § 200.326, as amended from time to time, to the extent it is required to do so. Specific items in these sections that are not addressed elsewhere in this policy, but must be adhered to when purchasing under a Federal award include:

- Procure goods and services using the proper procurement methodology depending on the level of procurement (Section 200.320)
- Avoid acquisition of unnecessary of duplicative items. (Section 200.318 – D)
- Award contracts to responsible, capable contractors. (Section 200.318 – H)
- Maintain records to detail procurement decision. (Section 200.318 – I)
- Be responsible for the settlement of all issues. (Section 200.318 – K)
- Conduct procurement providing full / open competition. (Section 200.319 – A)
- Prohibit state or local geographic preferences. (Section 200.319 – B)
- Ensure solicitations contain clear and accurate descriptions. (Section 200.319 – C)
- Detail the minimum essential characteristics and standards. (Section 200.319 – C)
- Identify requirements, and criteria for evaluating bids. (Section 200.319 – C)
- Ensure prequalified lists are current, free and open comp. (Section 200.319 – D)
- Take affirmative steps to assure that small and minority, and Women's businesses are used when possible. (Section 200.321)
- Perform independent cost or price analysis, before bids. (Section 200.323 – A)
- If no competition, negotiate profit as a separate element. (Section 200.323 – B)
- Cannot use price + % of cost, or % of construction cost method. (Section 200.323 – D)
- Comply with section 6002 of Solid Waste Disposal Act. (Section 200.322)
- Be free from real or apparent conflicts of interest. (Section 200.318 - C1)
- Comply with federal cost principals. (Section 200.323 – C)

10.5 Alternative Project Delivery Methods

Construction Costing Less Than $25,000.00:

A Request for Quotation is the most common method of Informal Source Selection for construction costing less than $25,000.00. Alternative sourcing/project delivery methods are available, including, but not limited to, Job Order Construction programs established by another government agency where a unit price book has been established to set a fair and reasonable price to be paid for a multitude of construction line items.

Professional Services Procurement

11.1 Authority

Under $25,000.00: For the purpose of procuring the service of licensed professionals or consultants, any department requiring such services may procure them on its own behalf, upon review and approval by the Town Administrator, when the total cost does not exceed $25,000.00. Department Heads are responsible for selection and Finance is responsible for contract administration. Competition is not required; nevertheless, Department Heads are responsible for selection based on applicable and appropriate qualifications, experience, referenced successes and cost factors. If desired, the Finance Department is available to assist in the selection process. A proposal from the vendor containing the scope of service, hourly unit cost, and expenses should be submitted during the Purchase Request process, regardless of the proposal amount.

$25,000.00 and Over: For the purpose of procuring the services of licensed professionals or consultants, all Town departments should adhere to the selection procedures described in Section 8. The Finance Department will participate in the selection process as desired by the department, or as required for the scope of the Professional Services. Final contract price shall be discussed only after determination of the best-qualified proposal.

11.2 Insurance

The Town may require professional services firms to provide appropriate errors and omissions insurance to cover architectural and engineering services.

Purchase Contracts

12.1 General

A Purchase Contract shall mean a binding agreement, not including purchase orders, for a single purchase of products, equipment, goods, materials or services. For purposes of determining the applicability of the dollar threshold requirements of this Manual and Chapter 28 of the Ellington Code of Ordinances, the Finance Officer's determination as to whether a purchase may reasonably and in good faith be deemed to constitute a single purchase shall be conclusive.

The time period associated with the vendor's performance of a Purchase Contract will vary by the type of products, equipment, goods, materials or services being secured for public use. Where practicable, to take advantage of volume pricing and/or reduce administrative costs, Purchase Contracts for a singular/specified purpose may include multi-year provisions and/or the option to renew or extend. Such Purchase Contracts should include a termination for convenience clause and/or language indicating that any future year's

performance is subject to appropriation of funds approved by the Town of Ellington Board of Selectmen.

Prices, terms and conditions of multi-year contracts and/or contracts with renewal or extension options are typically established through a Town solicitation process. When market conditions cause price fluctuations for the commodity or service being solicited, the resulting contract may allow for price increases by the contractor upon proof of increases in cost as specified in the solicitation. Such a solicitation should also include language that the contractor agrees to pass on price reductions as well as increases. Multi-year contracts and/or contracts with renewal or extension options may provide for renewals for up to a total five (5) year term when it is in the best interest of the Town as determined by the Finance Officer and approved by the Board of Selectmen.

The decision to exercise a renewal or extension option shall be made administratively. In determining such options, staff shall consider performance evaluations and appropriation of funds by the Town of Ellington Board of Selectmen. In the case of Purchase Contracts resulting from Formal Source Selection and awarded by Board motion, the Board shall be advised of multi- year provisions and/or renewal or extension options at the time the award recommendation is presented by staff. Renewal or extension notices may be initiated by the Finance Officer, or the Finance Officer's designee, pursuant to the provisions of this Manual.

12.2 Origin of Contracts

Purchase Contracts may be originated in several ways before they are used by the Town, including, but not limited to the following.

The Town may award Purchase Contacts for expenditures less than $25,000.00 by following the administrative rules, regulations and procedures set forth herein. Purchase Contracts resulting from Informal Source Selection may be administratively awarded based on the competitive efforts of the Town or another government entity or competition may be waived where not practicable or advantageous to the Town.

The Town may award Purchase Contacts for expenditure of $25,000.00 or more
pursuant to the Formal Source Selection methods identified in Chapter 28 of the Ellington Town Charter. Competition may be waived pursuant to the exceptions and alternatives to Formal Source Selection stated in Section 8.1 of this manual.

The Town may award a Purchase Contract by “piggy-backing” on the competitive efforts of other political units where the price for the item to be purchased from a third- party has been established by the Federal Government, State of Connecticut, another governmental entity, or other Cooperative government purchasing program.

The Town may award Purchase Contacts for the acquisition of goods and services directly from another political subdivision, the State of Connecticut, or the United States Government.

12.3 Contracts for Personal Services

Before requesting approval of an individual to provide personal services to the Town, the Department should be certain that no violation of law, including but not limited to Internal Revenue Service (IRS) regulations, will occur. Care must be taken to make sure the personal services contract does not establish an employer-employee relationship with the Town.

Generally, the following tests support a personal services contract with an individual:

- The individual has performed similar services on a contractual basis with other clients;
- The individual has paid tax withholding and social security withholding as a self-employed person and agrees to do so during its contract with the Town; and
- The individual shall perform the duties independently without direct detailed supervision by the Town to include independence in establishing work hours and location of performance of duties.

Emergency Purchases

13.1 Crisis Situation

A Crisis Situation Involving Costs Less than $250,000.00, And If There Is A Potential Danger To Human Life Or For Damage To Structures And/or Equipment.

For the purpose of meeting a public emergency threatening the lives, health, or property of citizens, emergency appropriations, the total amount of which shall not exceed two hundred and fifty thousand dollars ($250,000) may be made upon the recommendation of at least four (4) members of the Board of Selectmen and by an affirmative vote of not less than four (4) members of the Board of Finance. In the absence of sufficient general fund resources to meet such appropriations additional means of financing shall be provided in such manner, consistent with the provisions of the Connecticut General Statutes and of this Charter, as may be determined by the Board of Finance.

Chapter 28 of the Ellington Town Charter allows for the exemption of Formal Source Selection on a case-by-case basis as approved by the Board of Selectmen. Some purchases may be exempted from Informal Source Selection when a recommendation has been developed by department staff and approved by the Finance Department and Town Administrator or First Selectman, which indicates that goods or services are needed to correct or prevent an emergency health, environmental or safety hazard; special or time sensitive events; and/or emergency repair or replacement of existing equipment essential for daily operations. Such recommendations should be made in writing.

Sole Source/Single Source Designation

14.1 Authority

Chapter 28 of the Ellington Town Charter allows for the exemption of Formal Source Selection on a case-by-case basis as approved by the Board of Selectmen. Some purchases may be exempted from Informal Source Selection when a recommendation has been developed by department staff and approved by the Finance Department and Town Administrator or First Selectman, which indicates that either (1) a sole source procurement situation exists due to only one vendor or supplier possessing the unique ability to meet the Town's particular requirements or (2) a single source procurement situation exists whereby purchases are directed to one source because of standardization, warranty, or other factors, even though other competitive sources may be available. Such recommendations should be made in writing utilizing a Waiver of Competitive Bidding Form (See Section 20).

Shipping and Handling

15.1 Required Method

The Town's standard shipping and handling term is F.O.B Destination as indicated below.

15.2 F.O.B Destination (Free on-Board Destination)

F.O.B Destination means the vendor maintains title for the goods until they are received by the Town. The vendor pays the shipping costs and is responsible for claims against the carrier.

15.3 F.O.B Origin (Free on-Board Origin)

Occasionally, a vendor may quote F.O.B Origin. Accepting a quote of F.O.B Origin has consequences if the shipment is lost or damaged. F.O.B Origin means the Town accepts title to the goods from the moment they are picked up by the carrier. The Town is responsible for claims against the carrier and freight charges are determined by the contract terms.

Computer Hardware/Software Purchases

16.1 Authority of Director of Technology

All purchases of computer hardware and software must have prior approval of the Town's Director of Technology.

16.2 General Guidelines

In addition to the procurement requirements contained in this Manual, the procedures set forth in this Section shall be followed for all hardware and software purchases regardless of price, including, but not limited to, monitors, memory and multi-function cards, co-processor chips, disk drives and backup units, printers, plotters, and scanners. Also included are non-hardware and software such as maintenance and license agreements and technology consulting services.

These procedures do not apply to computer furniture. Normal purchasing procedures shall be followed for these items.

16.3 Request and Purchase Procedure

The department requesting the technology purchase shall prepare a Purchase Request which shall be forwarded to the Director of Technology. The requisition shall state the reason for need, item description, expected costs, possible vendors and applicable accounting information.

The Director of Technology or his/her designated representative, shall evaluate the request. The Director of Technology may approve the request, approve an alternative purchase and/or arrange a meeting with the department involved (and the Finance Department if needed) to discuss the request.

Fleet Vehicle Purchases

17.1 Authority of the Director of Public Service

All purchases of fleet vehicles must have the approval of the Town's Director of Public Works.

17.2 General Guidelines

In addition to the procurement procedures required in this Manual, the procedures set forth in this Section shall be followed for all new and replacement fleet vehicle purchases.

17.3 Request and Purchase Procedure

Departments requesting new or replacement fleet vehicles shall coordinate such requests with the Public Works Department. The Director of Public Works or his/her designated representative, shall evaluate the request to ensure that it is supported by the Town's Fleet Procedure. Following this evaluation, the Director or his/her designated representative will work with the department in reviewing the five-year capital plan for fleet vehicles and, if appropriate, work with the Finance Department in coordinating the purchase of the vehicle.

Cooperative Procurement

18.1 General

Cooperative procurement is a process by which two or more jurisdictions cooperate to purchase items from the same vendor. This form of purchasing has the benefits of reducing administrative costs, eliminating duplication of effort, lowering prices, sharing information and taking advantage of expertise and information that may be available in only one of the jurisdictions.

Cooperative procurement transactions must be legitimate and enforceable. There must be mutual understanding between buyers and sellers and a commitment on the part of participants in the cooperative procurement process to purchase from the successful vendor.

"Shopping" cooperative contracts (using one jurisdiction's contracts to bargain with other vendors) is considered an unethical purchasing practice. Town employees shall not engage in this practice.

18.2 Authority

The Finance Officer is authorized to participate in, sponsor, conduct or administer a cooperative procurement agreement for goods, services, and small-dollar construction with one or more other public bodies when such actions shall serve the best interest of the Town. Cooperative Purchase contracts may be exempt from Informal Source Selection and Formal Source Selection requirements.

If the Finance Officer determines that another governmental unit has entered into a competitive contract and that contract allows participation by the Town "piggy-backing", the Town may make purchases from such contract(s) in a manner that is consistent with this Manual.

Disposal of Surplus Property

19.1 General

The Finance Officer is authorized to provide for the disposal of surplus equipment and supplies, including motor vehicles. The disposal of all motor vehicles and surplus equipment and supplies with an estimate of $5,000 or greater requires a formal motion from the Board of Selectmen.

19.2 Sale of Surplus Property with an Estimated Value Less than $5,000.00

Surplus property having an estimated value less than $5,000.00 shall be sold, traded in, or disposed of in a manner that is consistent with the administrative rules, regulations and procedures set forth herein. Disposal Methods include:

- Acceptance of Quotations;
- Acceptance of Offers;
- Live public auction;
- Electronic public auction;
- Trade-in, when the Finance Officer determines the trade-in value is reasonable and likely to meet or exceed the value to be obtained through the sale of such equipment/supplies;
- Salvage, when the Finance Officer determines the salvage or scrap-metal value is reasonable and likely to meet or exceed the value to be obtained through the sale of such equipment/supplies;
- Donation, when the Finance Officer, in his or her sole discretion, determines that the benefit to another political entity or 501(c)(3) charitable organizations exceeds the anticipated sale value;
- Destruction, when the Finance Officer determines that the sale of property may compromise the security of personal or corporate information, such as information housed on Town hard drives and servers, such property shall be destroyed in a secure and environmentally conscious manner;
- Disposal, when the Finance Officer determines that surplus supplies have no resale value, or that the cost of transportation, storage and sale of said equipment/supplies exceeds the anticipated sale value.

The Town typically utilizes an online electronic public auction site to dispose of surplus property that no longer serves a useful municipal purpose. The websites used include www.municibid.com and www.publicsurplus.com

Finance Department staff will coordinate the necessary approvals from the Finance Officer and work with department staff to coordinate the temporary storage of surplus property, if needed.

The Finance Department will also work with the Director of Technology in coordinating the disposal and destruction of surplus technology items (PCs, copiers, printers, cell phones, etc.).

19.3 Sale of Surplus Property with an Estimated Value of $5,000.00 or Greater or Sale of any Motor Vehicle

Surplus property having an estimated value of $5,000.00 or more shall be sold, traded in, or disposed of in a manner that is consistent with Section 19.2 with Board of Selectmen approval.

19.4 Sales to Employees

The sale of Town property or assets to Town employees or their immediate family members is prohibited without Board of Selectmen approval.

19.5 Sale of Real Estate Property

The sale of all real estate property shall be performed in a manner consistent with the Town of Ellington Policies & Procedures, Procedure for Selling Town-Owned Land.

Appendices

20.1 Request for Quotation Form
20.2 Waiver of Competitive Bidding Request Form
20.3 Connecticut Dol Prevailing Wage Threshold Levels
20.4 Guide: How to Search State of Connecticut Cooperative Contracts
20.5 Commercial P-Card Program Manual

TOWN OF ELLINGTON
55 MAIN STREET
ELLINGTON, CT 06029

REQUEST FOR QUOTATION

NO.

THIS IS NOT AN ORDER

DATE	COMPLETION DATE REQUIRED	REPLY NO LATER THAN	DEPARTMENT NAME	PROGRAM NAME

VENDOR

Vendor Name:

Vendor Representative:

Address:

Phone:

Fax:

e-mail:

NOTICE TO BIDDER

Public authorities must pay the prevailing rate of wages on any enlargement, alteration, repair, remodeling, renovation or painting of any public improvement, the total overall project cost of which is fairly estimated to be more than $ 100,000.00 . When the specifications include these items and and your quotation price exceeds this amount, you must agree to pay your employees in accordance with the Connecticut Wage Law. If your quotation exceeds $25,000.00, the Town will need to formally advertise for competitive bids. All labor and materials should be included in your quotation amount.

TERMS	SHIPPING CHARGES	SHIP VIA	SHIPPING WEIGHT
	PREPAY F.O.B. DESTINATION		

ITEM	DESCRIPTION	QUANTITY	UNIT PRICE	EXTENDED PRICE
	The Town reserves the right to reject any or all quotations, or to make no award. The Town further reserves the right to excuse technical defects or exceptions in a quotation when, in its sole discretion, such excuse is beneficial to the Town.			

THIS PRICE IS GOOD FOR 90 DAYS UNLESS OTHERWISE NOTED	QUOTER'S SIGNATURE ----------	SUBTOTAL	
		DISCOUNT	
		SALES TAX	EXEMPT
PLEASE EXPLAIN ANY DIFFERENCE IN SPECIFICATIONS BY SEPARATE LETTER AND ATTACH. RETURN TO ATTENTION OF AT ABOVE ADDRESS.		QUOTATION TOTAL	

Town of Ellington
Waiver of Competitive Bidding
Finance Department

This documentmust supplement a requisition when seeking to purchase goods or services in excess of the $25,000. Check the applicable rationale category and provide justification for your request.

Complete Sections 1 and 2:

SECTION 1 – Rationale for requesting Waiver of Competitive Bidding. Please check the appropriate box that explains your reason(s) for the bid waiver then record the explanation/justification for the selection below.

☐ **Sole Source** – Goods or service can't be purchased from any other supplier - requires BOS approval

☐ **Single Source** – More than one supplier could provide the goods or service but one supplier was selected for economic reason. Single source suppliers are used in situations where using a different supplier would result in incompatibility with existing goods or services; and/or require considerable training, time and expense; the total cost of ownership is less than purchasing the goods from the low bidder - requires BOS approval

☐ **Emergency** – Goods or services are needed to correct or prevent an emergency health, environmental or safety hazard; special or time sensitive events; and/or emergency repair or replacement of existing equipment essential for daily operations - requires BOS approval

☐ **State Contract/Other Governance** - Vendor and goods/service with current State contract or completed required competitive bidding through other approved governance
*Must provide documented backup

Explanation/Justification

SECTION 2 - Departmental Approvals

Beginning Date *Of Waiver Request* _____ End Date *Of Waiver Request* _____

Vendor _____ Waiver Amount $ _____

Project I.D. # _____ Department _____

Initiator Name *(If Applicable)* _____ Initiator Signature _____

Approver Name _____ Approver Signature _____

*Approver must be First Selectman, Deputy First Selectman or Town Administrator

SECTION 3 – (Purchasing Use Only)

Purchasing Approval: _____ Date: _____

Prevailing Wage Threshold Levels Important Notice

20.4 Before advertising for bids, contracting, or undertaking construction with its own forces, to construct a public improvement, the Public Authority shall have the State of Connecticut determine the prevailing rates of wages for workers employed on the public improvement. The wage determination must be included in the project specifications and printed on the bidding blanks where work is done by contract.

"New" construction threshold for Building Construction: $1,000,000

"Reconstruction, enlargement, alteration, repair, remodeling, renovation, or painting" threshold level for Building Construction: $100,000

Thresholds are to be adjusted annually by the State of Connecticut.

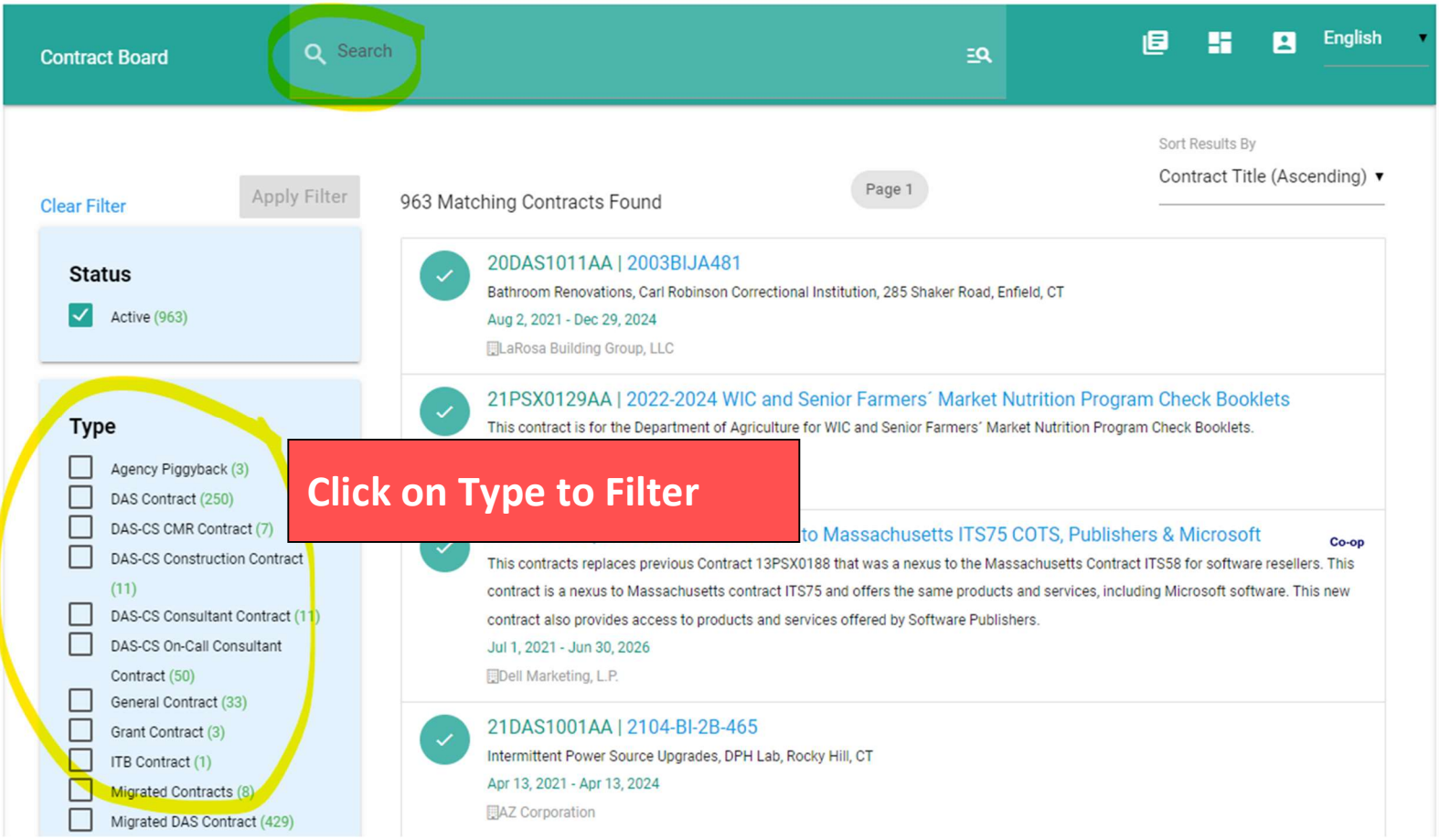
If there are questions concerning this notification, please contact:

State of Connecticut
Department of Labor
200 Folly Brook Blvd
Wethersfield, CT 06109
Phone: 860-263-6048
www.portal.ct.gov/dol

How to search the State Procurement website for these contracts? https://portal.ct.gov/DAS/CTSource/CTSource

Enter a “key” search word

Enter a “Company Name” search



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TOWN OF ELLINGTON

Finance Department

Commercial P-Card Program
Procedures Manual and Forms

Table of Contents

Overview

The goal of the Town of Ellington's P-Card Program is to improve the efficiency of high volume, low dollar amount purchases, while reducing transaction costs and maintaining integrity and control of the purchasing process.

The objectives of the program are to:

- Reduce the cost of high volume, low dollar transactions;
- Reduce the staff time involved making purchases;
- Reduce paper work;
- Develop reasonable and enforceable policies, procedures, and audit controls;
- Increase the number of vendors immediately accessible to the Town of Ellington;
- Improve management reporting on low dollar amount transaction.

All P-cards will be issued in coordination with the Finance Department and the approval of the Department Head and Town Administrator. P-Card usage may be audited and/or rescinded at any time. Only one person is assigned to use each card. This manual provides the guidelines under which the P-Card may be utilized. An employee's signature on the enclosed Cardholder Agreement indicates understanding of the intent of the program and agreement to adhere to the guidelines established for the program. P-Cards will be issued upon completion of training and signing the "Agreement to Accept the Visa Commercial Card" document.

Record keeping is essential in ensuring the success of this program. Department Heads will determine for their said department which of the two record keeping options it will utilize.

Each department, in which cards are issued, may designate one employee as a "Departmental P-Card Administrator." This employee will monitor the status of the division's various cards, and will be responsible for collecting receipts, reconciling them to the charges on the card, attempting resolution of any disputes relative to the accounts, and transmitting them to the Finance Department within the required timeframe. And, as with any charge card, receipts will be retained for the Town's and the employee's protection and reconciled at least weekly.

Each employee will be responsible for their own receipts reconciling them to charges on their own card, attempting resolution of any disputes relative to the account, and transmitting them to the Finance Department within the required timeframe. And, as with any charge card, receipts will be retained for the Town's and the employee's protection and reconciled at least weekly.

Finally, remember that Town funds are legally committed each time the P-Card is used. This is an important responsibility that cannot be taken lightly! An employee found to have used the P-Card improperly may be personally obligated to pay for an improper purchase.

How To Obtain A Card

Please read this manual in its entirety prior to requesting a P-Card. The manual provides a variety of information about the process; the types of purchases that can and cannot be made; records that must be retained and reconciled regularly; and important information about the program.

Steps to obtain a P-Card:

- Division/Department Head requests P-Cards for appropriate employees by completing the P-Card Application form (See Appendix)
- Request for P-Card(s) forwarded to Finance Department.
- Finance Department reviews the P-Card request(s) and forwards to the Town Administrator for approval.
- Following the Town Administrator's approval, the P-Card request is submitted to the bank for processing.
- Prior to receiving a card, new cardholders must attend scheduled training.
- New cardholders must sign an agreement to accept the P-Card.
- New cardholders obtain a P-Card upon completion of training.

The Director of the Department for which you work must indicate approval by signing the application. All requests will be processed through the Finance Officer.

Before you receive your card, you must read carefully and sign the Agreement to Accept the P-Card. Once you have received your card, always keep it in a safe place!

Although the card is issued in your name, it is the property of the Town and is only to be used for Town purchases, as defined in this document.

General Information

The P-Card program helps to reduce the use of petty cash, post purchase reimbursements, and individual vendor accounts.

The program is NOT intended to avoid or bypass appropriate purchasing or payment procedures. Rather, the program enhances the existing processes.

The program can be used for in-store purchases as well as for online orders.

The P-Card may be used with any domestic vendor or supplier who accepts Visa credit cards. Notify the Finance Department if a selected vendor will not accept the P-Card. As a fraud deterrent measure, P-Cards are restricted from use with foreign vendors.

The Finance Officer can authorize the use of the Accounts Payable P-Card to pay certain vendor invoices.

Each Employee is responsible for security and all transactions on his/her P-Card. The card is issued in the employee's name, and it will be assumed that any purchases made with the card will have been made by the assigned employee and signed for by that employee. A card used out of compliance with the guidelines established for this program may result in referral to the Town Administrator for investigation and the consideration of disciplinary action.

The card is not to be used for personal purchases under any circumstances. Also, employees may not benefit through any type of awards program offered in connection with commercial card use (e.g. frequent flyer mile programs).

General Guidelines for Purchases

Card Controls and Limits

The P-Card has several embedded limits and restrictions. Each time the card is used for a purchase, the merchant is required to obtain authorization from the banking network. This ensures that the purchase is within the program controls and limits established to safeguard against possible improper and/or fraudulent use.

Your P-Card is designed to give you the greatest amount of flexibility for your purchasing needs. Any restrictions placed on your card are designed to protect you and the Town of Ellington.

Spending limits established for each cardholder are:

- Monthly purchase limit ($1,000 or $5,000 depending on approved threshold);

Splitting of Transactions:

The Town's procurement card program has established certain monthly spending limit requirements. The splitting of purchases into separate transactions to avoid any of these requirements is strictly prohibited. Contact the Finance Officer before purchases are made to discuss these possible issues. Department Head notification is required to increase a cardholder's monthly spending limits.

Certain uses are restricted:

- Travel*;
- ATM/cash advances and other cash-related activities;
- Merchant category code (MCC) grouping restrictions for travel and entertainment related expenses for non-travel employees; and
- Staff Acknowledgements / Retirement Gifts.

*Note: Certain travel is permissible with authorization by the Town Administrator.

The Finance Officer can restrict additional items or merchants according to how each employee needs to use his/her card. The intent of issuing P-Cards is to empower employees to make low-dollar purchases so they can do their jobs efficiently and effectively.

Periodically, you may receive a listing of preferred suppliers to be used with the P-Card if the Finance Department finds that use of these suppliers is advantageous to the Town.

Making A Purchase

P-Cards are a payment tool and represent the preferred (and most economical) means of acquiring and paying for GOODS with a purchase price of $999 or less.

P-Cards are also a useful tool in paying renewal fees for professional dues and travel-related expenses (Approved Training and Development Request Form must be completed prior to booking any travel, registration and lodging expenses).

Purchases can be made wherever Visa credit cards are accepted.

Important:

All purchases made on the P-Card should not include sales tax. Make certain the supplier does not charge sales tax.

Only the cardholder may sign for purchase transactions made on their card.

If you encounter any problems with the supplier obtaining purchase authorization and/or declining your purchase, please contact the Finance Department.

At least monthly, the card holder or your Departmental P-Card Administrator (if applicable) will receive a communication from the Finance Department which will list your individual purchases that do not have required receipt uploaded to Bank of America Works portal. The purpose of this communication is to (1) verify that receipts match your purchases and (2) request that receipts and supporting documentation be uploaded as required. If you do not agree with what is shown, please notify the Finance Department immediately and refer to the dispute resolution information in this manual.

Supplier Use and Interface

The P-Card may be used with any authorized merchant that accepts a Visa credit card for payment and is included in an acceptable merchant category code (MCC) grouping.

Although credit cards are not new for consumer use, use in government as a purchasing vehicle is still relatively new, especially to wholesale suppliers and contractors. You may find that some suppliers do not currently accept credit cards. If they do not, you have the following options:

- Find another supplier that accepts credit cards;
- Use an alternative purchasing method with the supplier, (e.g. purchase requisition, direct invoice).

All incidents with a supplier that is not card-capable (cannot accept your Visa) should be reported to the Finance Department. This information will be passed to the bank so that an attempt can be made to help make the supplier card capable.

Receipt Documentation

Cardholders are required to maintain receipts for P-Card transactions.

Cardholders must sign their receipts as authorization of the purchase prior to uploading to Bank of America Works Portal. Signed receipts are necessary to substantiate payment.

Acceptable receipt documentation includes a signed credit card slip, a sales receipt, packing slip, cash register tape, email verification, or a combination thereof, which contains the following.

- Vendor name;
- Purchase amount;
- Description of the item(s) purchased;
- Date of purchase.

Obtaining receipts or other acceptable documentation is the responsibility of the cardholder. Please take extra precautions to store and maintain these documents for review.

If you cannot produce a receipt, you will be required to complete and sign a lost receipt form describing what was purchased, when, the cost (approximate if from memory), and under what circumstances the receipt was lost/misplaced. Note that the employee may be required to reimburse the Town for undocumented purchases if subsequent review indicates that the purchase was not an appropriate use of the P-Card.

Repeated failure to retain and turn in receipts will result in revocation of P-Card privileges.

Built In Restrictions

The card has monthly credit limits which have been set by the Town Administrator with input from the Finance Department and Department Head. If the limit is too low to accommodate monthly spending requirements, please contact your Department Head to re-evaluate the limit. If your Department Head agrees that it would be appropriate to raise the limit, they should request the change from the Town Administrator. If approved by the Town Administrator, the Finance Department can then change the parameters for a P-Card.

The following transactions have been blocked from usage in the program:

- Cash;
- Massage Parlors;
- Drinking establishments & liquor stores;
- Casinos;
- Para mutual Betting;
- Pawn Shops;
- Dating & Escort services;
- Jewelry Stores;
- Furriers and Fur Shops.
- Travel*
- Restaurants*

*Note: Certain travel and restaurant usage is permissible with authorization by the Town Administrator.

Accounting Requirements

Each cardholder is responsible for providing receipts to their Departmental P-Card Administrator or uploading to portal by the end of the day in which a charge is made on a P-Card (or by the next day if the use was outside of regular business hours). If a purchase is made by fax or email, provide the signed copy of the fax or email verification as a receipt. For phone orders, provide a signed written description of the item(s) ordered within the one-day timeframe, followed by the signed receipt enclosed with the item(s) when received. The billing cycle for Town of Ellington's P-Cards closes on the 6th day of each month.

As with all expenditures, Town Departments are responsible for remaining within their annual appropriation limits. P-Card expenses will be monitored to ensure compliance with budget levels.

Cardholders must obtain the written approval for P-Card purchases associated with:

- Uniforms (Department Head);
- Promotional Items / Employee Awards (Town Administrator);
- Food (Town Administrator);* and
- Deemed Appropriated Funds (Town Administrator).

*Note: Food items purchased for resale and food items associated with Town programs involving food that are subject to a registration fee do not require authorization by the Town Administrator.

In order to ensure that authorization is obtained, all cardholders planning to utilize their P- Cards for the purchase of uniforms, promotional items / employee awards, food, or deemed appropriated funds should submit their request in writing via email to the Town's Finance Officer at least one (1) week prior to the need to make such P-Card Purchase.

Once the P-Card transaction has been approved and completed, a signed receipt and a copy of the related email should be uploaded to Bank of America Works Portal.

For Technology related items, cardholders should obtain written approval from the Director of Technology prior to making any P-Card purchases.

It is strongly suggested that cardholders obtain Director of Technology approval in writing via email.

Reconciliation And Payment Process

The P-Card Program carries corporate, not individual, liability. The program will not impact an employee's personal credit rating in any way; no employee will be required to pay the monthly reconciliation statements using personal funds (unless personal charges are identified, in which case, the employee will be required to reimburse the Town immediately.) The monthly statements will be paid directly to Bank of America.

All receipts must be retained! If a purchase is made via phone, fax, or email the vendor should include a receipt with the goods when the product is shipped.

Each Card Holder or Departmental P-Card Administrator will review transactions as directed by the Finance Department. Within three (3) business days of the Finance Department's communication, each reconciler will transmit to Finance all signed receipts and supporting documentation for transactions that are being requested.

The activity on any P-Card can be audited at any given time.

The monthly statement billing cycle ends on the 6th day of every month. Purchases made after the 6th day will be reflected in the next monthly statement. Similar to the Year End deadline utilized for purchase order transactions, the use of P-Card transactions will be limited by the annually communicated deadline.

If Your Records Don't Agree With Your Statement

There may be occasions where items shown as charges to your account do not correlate with your retained receipts. For example, you may not have made the purchase, the amount of the purchase may be incorrect, or there may be a quality or service issue.

First, contact the vendor involved to resolve the error. If the vendor agrees that an error has been made, your account should be credited. Make sure you inform your Departmental P- Card Administrator or Finance Department that the transaction is being questioned as a reminder that the item is still pending resolution. Document any conversations or correspondence on the Commercial Cardholder Dispute Form included in this manual and keep a copy for your records.

If the vendor does not agree that an error has been made, contact the Finance Department. Provide a copy of the completed dispute form to your Departmental P-Card Administrator representative or Finance Department noting the amount in question. Keep a copy of your records. Disputes should be resolved within 90 days.

You are responsible for the transactions identified in your statement. When an audit is conducted on your account, you will be responsible for showing that the error or dispute resolution process has been invoked.

Lost Or Stolen Cards

The P-Card is Town property and should be secured just as you would secure your personal credit cards. If your card is lost or has been stolen, report it immediately to the number shown below and complete the Lost or Stolen Card Notification to be submitted to Finance.

During Regular Business Hours (7:45am to 6:30pm Monday)
(7:45am-4:30pm Tuesday-Thursday)
Contact the Finance Department
860-870-3115

After Regular Business Hours
Bank of America
Customer Service at 1-888-449-2273

At the next business day's opening of business, contact the Finance Department to report the cancelled card.

Upon receipt of your call, further use of the card will be blocked. Prompt action in these circumstances can reduce the Town's liability for fraudulent charges. Re-issuance of the P-Card will be coordinated through the Finance Department.

The Finance Department and your Department Head will track all P-Cards issued and cancelled. Prior to termination of the employment with the Town of Ellington, your P-Card must be turned in to your Department Head for cancellation before you can receive your final paycheck.

Repeated loss of the P-Card may result in termination of card privileges.

Sales And Use Tax

Sales Tax should NOT be paid on any P-Card purchase. The Town of Ellington is a municipal corporation and is, therefore, not subject to state and local sales or use tax.

Your P-Card has the Town of Ellington's federal tax identification number, and notes purchases made on the Town's behalf are tax-exempt.

Merchants Who Do Not Accept the P-Card

Anyone from whom you currently purchase goods or services can be considered a potential vendor of the P-Card Program – even if they do not accept Visas at the current time. The program is not restricted to retail merchants only.

Although the Town does not endorse Visa or any of its associated banks specifically, merchants are encouraged to become involved in the P-Card Program so that cardholders can use the program most effectively.

Vendors may contact their local bank or financial institution to become Visa capable, or they may contact the P-Card Program provider, Bank of America. Most of these financial institutions can authorize vendors to process all types of charge card transactions, so that this form of payment may be accepted from any Town or individual using a charge card.

In Summary

Vendors are paid immediately when you use the P-Card. Please indicate to vendors that you do not wish to be invoiced, as an invoice could result in duplicate payment.

This program is designed to be simple and easy to use, providing goods needed to efficiently perform your job. You must use appropriate controls to ensure the ongoing success of the program.

Exercise good judgment and act responsibly when using your card. The card is issued in your name, and it is assumed that you will incur all activity. Always retain your receipts and reconcile them to the monthly billing statement.

In addition, random audits may be conducted for both card activity and retention of receipts/sales slips. Consequences, ranging from suspension of cards to termination of employment, may be invoked for improper use of the program.

Your feedback is essential to the program's success. We need to know if you have any problems and welcome suggestions for improvement.

As we continue to improve the way we conduct business, your use of the P-Card program in conducting your daily business can help us make significant changes in eliminating a variety of manual transactions. If you have any questions about the program or need additional information, please contact your Department Head or Finance Office.

Administrative Guidelines

These guidelines are established for Department Heads of employees selected to participate in the P-Card Program.

Reports uploaded into the Town's financial system (iVisions) from the Bank of America Works website must be reconciled with supporting receipts by the cardholder. Department Heads are responsible for verifying and authorizing the expenditures of each cardholder.

Cardholders are responsible for verifying that all transactions are supported and in accordance with the program guidelines.

Department Heads may implement additional procedures necessary to monitor expenditures. Funds must be appropriated and available before purchases are made to ensure that the annual budget is not exceeded.

Department Heads should periodically review the list of cardholders within their department and reconcile with the Finance Department.

Any employee transferring to another department within the Town should contact their new supervisor and ask if a P-Card is warranted. If so, the card can be changed to the new department, rather than canceling and re-issuing the card. Please coordinate with the Finance Department.

If an employee is terminating employment with the Town, the card must be turned in to their supervisor prior to leaving. The supervisor should immediately arrange for cancellation of the card. Cut the card in half and forward it to the Finance Office for destruction.

Any concerns or questions regarding the P-Card Program and your responsibilities as a Department Head or Supervisor should be addressed to the Finance Officer.

AGREEMENT TO ACCEPT THE P-CARD

The Finance Department is pleased to present you with this Bank of America Visa Commercial Card. It represents the Town's trust in you. You are empowered as a responsible agent to safeguard and protect Town assets. Your signature below is verification that you have read the employee handbook and agree to comply with it, as well as the following responsibilities. It also acknowledges that you have received Visa Commercial Card # _____.

1. I have received training and a manual regarding the proper usage of the card.
2. I understand the card is intended for Town-approved purchases of GOODS costing $1,000.00 or less, and I agree not to charge personal purchases under any circumstances.
3. I understand any personal charges billed to the Town or other improper use could be considered misappropriation of Town funds. This may result in the temporary or permanent revocation of the card and/or disciplinary action, up to and including, termination of employment. Disciplinary action will be in accordance with a Collective Bargaining Agreement where applicable.
4. If the card is lost or stolen, I will immediately notify the Finance Department or Bank of America Customer Service. If the notification is made directly to Bank of America Customer Service, I will confirm any communication by email and copy the Town's Finance Officer.
5. I agree to surrender the card immediately upon termination of employment, whether for retirement, voluntary or involuntary reasons.
6. I understand the card is issued in my name. I will not allow any other person to use the card. I am considered responsible for any and all charges billed against the card.
7. I understand that certain uses of the card are completely prohibited, such as ATM/cash-related activities, and understand other uses, including but not limited to, travel staff acknowledgements, uniforms, promotional items/employee awards, food, and technology require pre-approval. Failure to obtain pre-approval may result in the temporary or permanent revocation of the card and/or disciplinary action.
8. As the card is Town property, I understand that I am required to comply with internal control procedures designed to protect Town assets, including providing receipts to my Departmental P-Card Administrator or uploading to Bank of America Works Portal by the end of the day in which a charge is made (or by the next day if the use was outside of regular business hours). Such compliance may also include being asked to produce the card to validate its existence and account number. The Town may have access to any and all records related to the use of my Commercial Card.
9. I understand that I am responsible for all charges (but not for payment) on the card, I will resolve any discrepancies by either contacting the supplier or the bank.
10. I understand that the charges made against my card are assigned to various accounts as specified by the Department Head.
11. I understand the Commercial Card is not necessarily provided to all employees. Assignment is based on my need to purchase materials for business and may be revoked based on change of assignment or location.

Employee Signature

Approving Department Head Signature

Employee Printed Name

Date

Town of Ellington
Finance Department
P-Card Cardholder Dispute Form

This document must submitted to your Department P-Card representative or Finance Department when charges to your account do not correlate with your retained receipts and the vendor does not agree that an error has been made.

Complete Sections 1 and 2

Cardholder Information

Name:	Department:
Signature:	Work Phone:
Date:	Account Number:

- ☐ Credit Not Posted (Attached Credit Slip)
- ☐ Duplicate Posting
- ☐ Erroneous Amount (Attached Sales Receipt)
- ☐ Other

Merchant Name/Description	Dollar Amount

Describe Dispute

Email Dispute Form To:

Finance Department: tpignataro@ellington-ct.gov and flaplante@ellington-ct.gov

Town of Ellington
Finance Department
Lost or Stolen Card Notification

Cardholder Information

Name:	Department:
Date:	Work Phone:
Department:	Date of Call to BOA:

☐ Lost Card

☐ Stolen Card

☐ Other

Cardholder's Signature Date

Department Head's Signature Date

Email Notification Form To:

Finance Department: tpignataro@ellington-ct.gov and flaplante@ellington-ct.gov

Town of Ellington
Finance Department
Lost Receipt Form

Cardholder Information

Name

Account Number

Department

Date of Purchase

Amount of Purchase

What was Purchased

Vendor Name and Address

Explanation

Cardholder's Signature Date

Department Head's Signature Date

Email Notification Form To:

Finance Department: tpignataro@ellington-ct.gov and flaplante@ellington-ct.gov

P-Card Administrator Contact

Town Administrator	Matthew Reed	860-870-3100
Finance Officer	Tiffany Pignataro	860-870-3115
Assistant Finance Officer	Felicia LaPlante	860-870-3115

Town of Ellington
Finance Department
P-Card Application

Cardholder Information

Name:	Department:
Email Address:	Work Phone:
Date:	

Monthly Spending Limit:

- ☐ $1,000
- ☐ $5,000
- ☐ Other Request

Supervisor's Signature Date

Town Administrator's Signature Date

Send Completed Form to Finance Department: tpignataro@ellington-ct.gov and flaplante@ellington-ct.gov