

 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 3.3	Effective Date 10/03/14	Page 1 of 5
	Supersedes Procurements, dated 10/31/2007		
Approved By  Interim Commissioner Scott Semple	Title Procurements		

1. **Policy.** The Department of Correction (DOC) shall establish and maintain through the Fiscal Services Unit, an efficient standardized procurement process which encourages participation of qualified competitive bidders, including small, minority-owned and women-owned businesses, and adheres to established state procurement rules and regulations.

2. **Authority and Reference.**
 - A. Connecticut General Statutes, Sections 4-8, 4-33a, 4-98, 4a-50 through 4a-75, 4b-3, 4b-51, 4b-52, 4b-55, 4d-9 and 18-81.
 - B. Regulations of Connecticut State Agencies, Sections 46a-68j-1 through 46a-68j-18.
 - C. State of Connecticut, Office of the State Comptroller, State Accounting Manual.
 - D. State of Connecticut, Department of Administrative Services, Bureau of Purchases, Purchasing Manual.
 - E. State of Connecticut, Department of Administrative Services Website, Business Connections Directory/Set-Aside Unit.
 - F. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1B-09.
 - G. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4011, 4-4038 and 4-4039.
 - H. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF 7D-15.
 - I. Administrative Directives 3.4, Inventory Control; and 4.7, Records Retention.

3. **Definitions.** For the purposes stated herein, the following definitions apply:
 - A. **Bidder.** A person, firm or corporation submitting a competitive bid in response to a solicitation.
 - B. **Competitive Bidding.** The submission of prices by persons, firms or corporations competing for a contract to provide supplies, materials, equipment or contractual services under a procedure in which the contracting authority does not negotiate prices.
 - C. **Competitive Negotiations.** A procedure for contracting supplies, materials, equipment or contractual services in which proposals are solicited from qualified suppliers by a request for proposals. Changes may be negotiated in proposals and prices after being submitted.
 - D. **Contract.** A voluntary legally binding agreement between two or more parties. Contracts in excess of \$50,000 shall be administered through and by the Department of Administrative Services.

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- E. Contractual Services. Any service arrangements where the services are provided by persons other than state employees (i.e., laundry and cleaning services; rubbish removal; pest control; fire or fence alarm services; janitorial services; security services; the rental and maintenance/repair of equipment, machinery and other state-owned property, advertising, etc.).
- F. Direct Purchase Authority. Authorization from a governing agency to the Department, to make acquisitions within specified limits.
- G. Equipment. Any personal property including, but not limited to, machinery, vehicles, furnishings, computers and other electrical and electronic devices with a normal useful life of one (1) year or more and a value of \$1,000 or more.
- H. Minority-Owned Business. A business certified by the Department of Administrative Services as meeting the qualifications for Set-Aside program participation as a minority-owned business pursuant to Section 4a-60g of the Connecticut General Statutes.
- I. PA Projects. Alterations, additions or changes to state premises requiring the prior approval of the Commissioner of Public Works pursuant to Section 4b-51 of the Connecticut General Statutes.
- J. Purchasing Cards (P-Cards). Credit cards issued to specific staff, to enable direct placement of orders within authorized limits.
- K. Small Business. A business certified by the Department of Administrative Services as meeting the qualifications for Set-Aside program participation as a small business under pursuant to Section 4a-60g of the Connecticut General Statutes.
- L. Sole Source. Exclusive provider of a specific product or service.
- M. Standardization Transaction. One (1) time special purchase for emergency situations or sole source waiver of bid process due to unusual trade or market conditions.
- N. Unauthorized Purchases. Any order to a vendor for goods or services not properly authorized by an official state purchase order or purchase authority.

4. Purchases.

- A. Standard Purchasing Process. Purchasing documents shall be processed in accordance with the State Accounting Manual. Except as noted in Section 4(C) (1-4) of this Directive, only authorized fiscal services staff may commit the Department to purchasing transactions.
- B. Requisition Procedures. An on-line purchase requisition shall be initiated for the purchase of supplies, equipment, and services not readily available from a DOC warehouse. Properly authorized purchase requisitions shall be processed through the Fiscal Services Unit (Purchasing Section) regardless of fund type. All purchase requisitions shall be coded for expenditure purposes in accordance with the Department's fiscal coding structure.
- C. Exceptions. The following shall be exceptions to the standard purchase and requisition processes:
 - 1. Purchase of Professional Services. Professional services including veterinarians, attorneys, engineers, architects,

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or consultants, shall be managed by the Fiscal Services Unit.

2. Purchasing Card (P-Card). Acquisitions shall be initiated by the cardholder.
 3. Personnel Services. Temporary office help shall be arranged by the Human Resources Unit, through the Department of Administrative Services (Bureau of Human Resources).
 4. Telecommunications. Changes or repairs to telecommunication systems shall be arranged through the Management of Information Systems (MIS) Unit.
 5. Acquisition of Health Services or Health Care Supplies. The acquisition of health services or health care supplies shall be the responsibility of the contracted health services provider.
 6. PA Projects. PA projects shall be initiated through the Facilities Management and Engineering Services Unit. Upon receipt of properly authorized requisition forms, the Facilities Management and Engineering Services Unit (Purchasing Section) shall procure materials and services as necessary.
5. Purchase Authority. Except where permitted under Direct Purchase Authorities granted to the Department, the Fiscal Services Unit shall request authorization and assistance to acquire goods and services, from: (1) the Department of Administrative Services for general goods and services; (2) the Department of Information Technology for data processing and telecommunications; (3) the Office of Policy and Management for personal and human services; and (4) the Department of Public Works for construction, renovation or repair projects.
 6. Purchasing Cards. Authorized users of P-Cards shall complete documentation specific to the purchasing card program requirements and adhere to all standards for P-Card use as established by the Department, the Office of the State Comptroller, and the Department of Administrative Services. Requisitions may be required at the discretion of the supervisor responsible for approving each P-Card transaction. P-Cards shall not be used to circumvent standard procurement authorities and purchase limits.
 7. Competitive Bids. The Fiscal Services Unit shall facilitate the competitive bidding process pursuant to all applicable state statutes, regulations and guidelines. When authorized to acquire goods and services under a direct purchase authority, the Fiscal Services Unit shall obtain competitive bids from responsible sources if the total cost exceeds \$2,500 and the purchase is not covered by an established state contract. Except for bona fide sole source procurements, at least three (3) responsible sources shall be solicited. Certified minority/set-aside vendors shall be proactively solicited. Competitive bids may be required at the discretion of the Director of Fiscal Services for purchases when the total is \$2,500 or less.
 8. Consolidated Purchases. Consolidated purchases and pre-itemized requisitions (planned periodic purchases) shall be utilized as practicable to achieve "best price" and product standardization.

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9. Equipment. All equipment requests must have the prior approval of the Director of Fiscal Services. All equipment shall be controlled in accordance with the guidelines established by the Office of the State Comptroller and Administrative Directive 3.4, Inventory Control.
10. Receiving Reports. All goods and services procured by the Department shall be inspected and verified at the time of receipt. An on-line receiving report shall be promptly prepared and forwarded to the Fiscal Services Unit (Purchasing-Accounts Payable Section).
11. Records Retention/Disposal. Records shall be retained and disposed of in accordance with Administrative Directive 4.7, Records Retention.
12. Department of Correction Purchasing Manual. The Director of Fiscal Services shall develop, promulgate and revise, as needed, a Department purchasing manual which shall detail the procedures utilized throughout the Department to purchase all goods and services. The originator of purchasing documents shall review and adhere to the provisions outlined in the manual prior to initiating purchases.
13. Unauthorized Purchases. Any purchases or contracts for any supplies, materials, equipment or services contrary to statutory provisions and this Directive shall be void. The Department shall notify the Auditors of Public Accounts and the Office of the State Comptroller of unauthorized purchases and the responsible party may be held personally liable for the costs of such order or contract.
14. Contract Compliance Procedures. The Fiscal Services Unit (Purchasing Section) shall be responsible for ensuring that contract compliance requirements are met in the bidding for and awarding of contracts. The Fiscal Services Unit (Purchasing Section) shall:
 - A. Issue requests for equal employment data to prospective bidders in accordance with guidelines issued by the Commission on Human Rights and Opportunities (CHRO).
 - B. Review the Connecticut Law Journal or consult with the Commission on Human Rights and Opportunities prior to awarding a contract, to ascertain that any potential contractor has not been issued a notice of non-compliance.
 - C. Complete a Contract Award Notice and forward it to the Affirmative Action Unit for submission to the Commission on Human Rights and Opportunities.
15. Small and Minority Business Set-Aside Goal. The Fiscal Services Unit shall set-aside for award to small businesses, twenty-five percent (25%) of the average total value of all purchases, with exemptions as authorized by the Department of Economic and Community Development.
 - A. Minority-Owned and Women-Owned Business. Twenty-five percent (25%) of the "small business set-aside goal" shall be reserved for minority-owned and women-owned businesses that have been certified by the Department of Administrative Services and are capable of providing the service sought. Such businesses, if identified, shall be encouraged to participate in the bidding process. The DAS Supplier Diversity Program Website shall be used as reference to identify such businesses.

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- B. Subcontracts. In lieu of contracting directly with small business and minority business enterprises, the Department of Correction may satisfy its set-aside obligations in whole or in part by requiring general contractors to hire subcontractors who are certified as small businesses.
 - C. Award. Set-aside contracts/purchase orders shall be awarded by the Fiscal Services Unit (Purchasing Section) in accordance with relevant purchasing guidelines.
 - D. Payment. Payment to small business under the set-aside program shall be made as stipulated by the Fiscal Services Unit (Purchasing Section) for its standard contracts, but in no case shall payment be made later than 30 days after acceptable performance of the contract.
 - E. Reports. The Director of Fiscal Services shall provide quarterly reports to the Deputy Commissioner of Administration for submission to the Commissioner of Administrative Services and the Executive Director of the Commission on Human Rights and Opportunities. The Fiscal Services Unit shall record and provide to the Affirmative Action Unit, all data necessary for reporting on utilization of minority-owned and women-owned businesses by the Department.
16. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.