



RESOLUTION

concerning

AMENDMENT TO IMPLEMENTATION PROCEDURES FOR PROVISIONS OF P.A. NO. 91-256

July 31, 1992

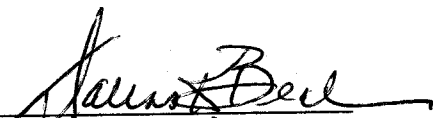
WHEREAS, Effective January 10, 1992, procedures regarding (a) travel requests, (b) personal service agreements and honoraria, and (c) the purchase of all commodities, equipment, public safety and emergency vehicles and equipment, contractual services, printing, publishing, microfilming and lease of personal property, were approved by Board Resolution BR#92-18, and

WHEREAS, The President of Connecticut State University system was informed that copies of the above procedures originally sent to various State agencies for their review and comments in the draft stage were not distributed to and reviewed by all appropriate staff in some state agencies, and

WHEREAS, The procedures were resubmitted to the concerned State agencies for review and comments have been received from interested persons, therefore, be it

RESOLVED, That effective July 31, 1992, the procedures regarding Travel, Personal Service Agreements and Purchasing are amended to incorporate comments received from interested persons and are appended to this resolution.

A Certified True Copy:


Dallas K. Beal
President



CONNECTICUT STATE UNIVERSITY

PROCEDURES FOR PERSONAL SERVICE AGREEMENTS AND HONORARIA

The purpose of this document is to provide procedures to implement the provisions of Section 35 of Public Act No. 91-256 regarding personal service agreements and honoraria.

1. Extent of Authority

The Chief Executive Officer of the Connecticut State University system and the President of each State University and their respective designees are authorized to enter into Personal Service Agreements in accordance with policies adopted by the Board of Trustees for the Connecticut State University system.

2. Definition

- a) Personal services are services performed by an individual, partnership or corporation of a professional or technical nature, or non-professional services if the State does not supply the support equipment.
- b) Honoraria are the fees for professional services normally associated with academic guest lecturers or speakers for a university event.

3. Competitive Bidding, Proposal Solicitation

When possible, all services that are not unique to one individual, partnership, or corporation should be competitively bid or proposals (RFP) sought.

4. Contract Format

The contract shall be executed on either the Personal Service Agreement form prescribed by the State Comptroller (CO-802A) or, in the case of contracts valued at \$600 or less, on an agency approved form. A contractor's agreement form may be attached as part of the contract.

5. Dual Employment

- a) Should the contracting individual be a currently working Connecticut State employee, a properly executed Dual Employment Request (PER-DE-1) must be sent to the agency employing the individual in order to certify that no conflict of interest exists. No further review is necessary. Payment must be through the payroll system.
- b) Employees whose contracts are for the period of the academic year only need not have a Dual Employment request for employment during the intersession and summer breaks.

6. Consultant Services

- a) Prior approval for consultants by OPM, as defined in Sections 4-205 through 4-211, CGS, inclusive, is necessary under two conditions:
 - (1) That the agreement exceeds \$20,000 prior to July 1, 1991 (adjusted annually thereafter for inflation) is deemed non-competitive (less than three proposals) or
 - (2) If State appropriated funds are used (any dollar value).
- b) The procedures for requesting OPM approval as outlined in the OPM memo of February 2, 1990 will be followed.

7. Attorney General Approvals - Agreements whose total cost in a given twelve month period exceeds **\$3,000** requires the approval of the Attorney General. Such agreements will be routed through the CSU Executive Office for forwarding to necessary parties. Nothing shall prohibit requesting an Attorney General review for agreements less than **\$3,000** should the University see a need.

8. Outside Group Facilities

Operation or management of a facility or project financed by tax-exempt bonds in whole or in part by an outside group under a management contract is allowed provided that:

- a) The management contract is prepared in accordance with the contract guidelines in OPM General Letter 90-3.
- b) All such contracts be submitted to OPM, through the CSU Executive Office, for review.

9. Other Limitations Personal Service Agreements are subject to the limitations of CSU Board of Trustees Resolution No. 86-28 concerning approval of system-wide contracts and Resolution No. 89-57 concerning the signature authorities for documents.

[proced#83]

CONNECTICUT STATE UNIVERSITY

TRAVEL PROCEDURES

The purpose of this document is to provide procedures to implement the provisions of Section 36 of Public Act No. 91-256 regarding travel requests and expenses incurred by employees of Connecticut State University.

1. Extent of Authority

- a) The Chief Executive Officer of the Connecticut State University system and the President of each State University and their respective designees are authorized to approve travel requests and expenses for their employees in accordance with procedures and rate structures approved by the Board of Trustees for the Connecticut State University system.
- b) In the event that collective bargaining agreements have travel rate and reimbursement different than those listed herein, the collective bargaining agreement rates will prevail.

2. Initiating Travel

- a) Prior approval is necessary for all out of state travel, and an in-state trip involving any non-mileage expense greater than \$25.00 per trip, and will be on the form prescribed for that purpose by the State comptroller (CO-112).
- b) For in-state travel in an amount of less than \$25.00 per trip, the approved payment voucher (CO17XP) and, should travel by privately owned automobile be involved, the filing of the insurance document(s) in accordance with paragraph #6 below, shall be sufficient proof that the individual is on state business and prior written authorization is unnecessary.

3. Travel Advances

- a) Petty cash advances are permitted, but restricted by availability of petty cash funds.
- b) A statement similar to the attached "agreement" must be signed by the traveler upon receipt of petty cash funds.
- c) Within five working days after completion of the trip, the employee must submit a completed voucher with the required documentation, to the agency business office.

4. Common Carrier (Air, Rail, Bus) Transportation

- a) The CSU system may contract with up to two travel agencies to provide common carrier tickets billable directly to each university. Such contracts may be made through either competitive bidding or negotiation. **ALL COMMISSION REBATES NEGOTIATED WITH TRAVEL AGENCIES SHALL BE CREDITED TO THE CSU SYSTEM OPERATING FUND.**
- b) Travelers may also choose to purchase their own common carrier tickets, provided that tickets so purchased be paid for by the traveler and must be at a competitive rate. Cost of such tickets may be wholly or partially advanced or if paid by the traveler, be reimbursed to the traveler upon submission of an approved travel voucher at trip completion.
- c) Special arrangements taking advantage of discount fares, resulting in net savings to the university, to include the cost of extra day(s) lodging and meals, are acceptable.
- d) Each CSU campus will maintain a supply of parking passes for Bradley International Airport sufficient to meet needs of employees using the airport on official business.

5. Meals, Lodging and Incidental Expenses

- a) In the conterminous United States, reimbursement shall be at rates up to the current GSA rates for meals, lodging and incidental expenses as incurred. Lodging at designated conference hotels may be paid at the rate published in the conference brochure.
- b) Outside the conterminous United States, rates shall be governed as prescribed in the Federal Travel Regulations, Section 925.

6. Privately Owned Automobile

- a) Mileage for privately owned automobile will be reimbursed at the current GSA rate.
- b) Insurance coverage for privately owned automobiles shall be as required by the State of Connecticut regulations governing the use of privately owned vehicles as published by DAS Fleet Operations. The insurance certificate or declaration pages must be on file in the business office prior to the travel.

7. Automobile Rentals

Automobile rentals are permitted if listed on the approved travel authorization, with appropriate justification attached.

8. Other Expenses

- a) Gratuities will be allowed at standard rates and, in conjunction with meals, up to 15% of the meal cost.
- b) Reasonable use of taxis, airport limousines and similar transport will be reimbursed at cost if included on the travel authorization.
- c) Charges for telephone calls made for official State business will be allowed provided that documentation is submitted showing destination and charge per call and included on the approved travel authorization.
- d) Expenses for stenographic, typing, photocopy, facsimile, or other business services are allowable if supportive of official State business and are accompanied by receipts.

9. Payment

- a) Expenses will be reimbursed upon submission to the university's business office of an approved voucher on the form prescribed by the comptroller.
- b) Receipts are required for reimbursement of individual expenses exceeding \$25.00. In the case of common carrier travel a copy of the ticket serves as a receipt and is required for reimbursement.
- c) No receipts are required to claim meal allowances.
- d) All receipts for common carrier travel, whether claimed or unclaimed, paid by the traveler or another source, must accompany the voucher.

10. Limitations of Reimbursement

- a) Transportation between an employee's home and official duty station is not reimbursable.
- b) Costs for tickets, guest meals, and similar extraordinary expenses will not be reimbursed unless such charges relate directly to the purpose of the trip and are on the approved travel authorization.
- c) Personal expenses such as newspapers, magazines and toiletries shall not be reimbursed.
- d) Costs for alcoholic beverages shall not be reimbursed.

11. Local Procedures

Each university shall adopt, publish and internally distribute such local administrative procedures as necessary to manage the approval and reimbursement of travel expenses consistent with those procedures.

[proced#84]

CONNECTICUT STATE UNIVERSITY
PURCHASING PROCEDURES

The purpose of this document is to provide procedures to implement the provisions of Sections 8, 33 and 35 of Public Act No. 91-256 regarding the purchase of all commodities, equipment, public safety and emergency vehicles and equipment, contractual services, printing, publishing, microfilming and lease of personal property.

1. Extent of Authority

- a) The Chief Executive Officer of the Connecticut State University System and the President of each State University and their respective designees shall have the authority to purchase goods and services or lease personal property in accordance with policies adopted by the Board of Trustees for the Connecticut State University system.
- b) Where the Department of Administrative Services has executed a State contract for the purchase of such goods and services, purchases may be made from contract vendors in accordance with terms and conditions of the contracts, provided that the use of a State contract is in the best interest of the University.

2. Bidding and Competition

- a) Competitive bidding is not required for any individual purchase of two thousand dollars (\$2,000) or less, or such other amount as set by statute. No purchase will be divided or sub-divided for the purpose of bringing such purchase within the limit prescribed. Each University's Director of Purchasing will retain the option to solicit competitive bids if it is in the best interests of the individual University.
- b) Except as provided in Section 3, purchases exceeding two thousand dollars (\$2,000) but less than or equal to ten thousand dollars (\$10,000) shall be made in the open market, but shall be based on at least three competitive bids whenever possible, except for non-competitive (sole source) commodities or in the case of a bona fide emergency.
- c) Except as provided in Section 3, purchases exceeding ten thousand dollars (\$10,000) but less than or equal to twenty-five thousand dollars (\$25,000) shall be made in the open market, but shall be based on at least three competitive bids whenever possible, except for non-competitive (sole source) commodities or in the case of a bona fide emergency. Each bid shall be kept sealed until opened publicly at the time stated in the notice soliciting such bid.

- d) Except as provided in Section 3, all purchases exceeding twenty-five thousand dollars (\$25,000) shall be solicited by advertisements placed in at least three (3) daily newspapers published in the state, at least ten (10) days prior to the closing date for bid submissions. A minimum of three (3) competitive bids are required whenever possible. Each bid shall be kept sealed until opened publicly at the time stated in the notice soliciting such bid.
- e) Competitive bidding is not required in the case of emergency purchases. However, such purchases should be based on at least three competitive quotations whenever possible (see Paragraph 4).
- f) Competitive bidding or quotations are not required when participating in an available state contract award which has already undergone competitive bidding by DAS or OIT.
- g) If the nature of the purchase precludes solicitation of competitive prices, the notation "non-competitive" shall be made on the agency's copy of the purchase order. If the reason for the non-competitive nature of the purchase is not self-evident, an explanation shall also be attached.

Examples may include purchases from another state agency or the Federal government, purchases from a publisher or exclusive distributor, advertising, dues, subscriptions, fees, and licenses.

- h) If the using department determines that the purchase should be made on a "sole source" (only one vendor can supply the required product or service), or "sole product" (only one brand or model can supply required needs), basis, the reasons must be based on clearly identified criteria documented in the purchasing file.
- i) All invitations to bid shall also be posted in a conspicuous location in each University Purchasing Department.
- j) Processing of purchasing orders:
 - (1) Vendor copy (white) of purchase orders will be mailed directly to the vendor by each University.
 - (2) Bureau of Purchases copy (blue) of purchase order will be retained by each University for use as a basis in determining University-wide contracts.
 - (3) Comptroller copy (pink) of purchase order will be mailed to Office of the Comptroller.

3. Negotiated Purchases - CGS Section 4a-52b

In lieu of soliciting competitive bids, nothing shall prohibit each University from purchasing supplies, materials, equipment, and contractual services through negotiation when all the following criteria are met:

- a) Such purchases have a cost of twenty thousand dollars (\$20,000) or less,
- b) such purchases are required to implement a grant, contract or financial agreement between the University and the donor wherein funds or other things of value are given with an obligation for service primarily to the donor by the University and,
- c) such supplies, materials, equipment, or contractual services are specified in such grant, contract or financial agreement.

4. Emergency Purchases

- a) Should an emergency exist "...by reason of extraordinary conditions or contingencies that could not reasonably be foreseen and guarded against, or because of unusual trade or market conditions,..." (P.A. No. 91-256) the University may, if it is in the best interest of the University, make purchases without competitive bidding. Emergency purchases may preclude the use of existing contracts if the contract vendor cannot meet the emergency delivery requirements.
- b) An "emergency" is further defined as a situation where the normal operation or portions thereof of an agency would cease or be seriously impaired if immediate action were not undertaken to correct the contingency.
- c) **THE DETERMINATION OF WHETHER AN EMERGENCY EXISTS IS MADE BY EACH UNIVERSITY'S CHIEF PURCHASING OFFICIAL ON A CASE BY CASE BASIS. THE SIGNATURE OF THE CHIEF PURCHASING OFFICIAL ON THE PURCHASE REQUISITION FOLLOWED BY THE WORD "EMERGENCY" WILL CONSTITUTE APPROVAL OF AN EMERGENCY PURCHASE.**
- d) A written statement documenting the nature of all emergency purchases between two thousand dollars and one cent (\$2,000.01) and twenty-five thousand (\$25,000.00) shall be attached to the agency's file copy of the purchase order at the time the order is placed.
- e) Emergency purchases exceeding twenty-five thousand dollars (\$25,000.00) shall be in accordance with paragraph 6 below.
- f) All emergency purchases of a dollar value exceeding two thousand dollars (\$2,000) are subject to the reporting procedures outlined in paragraph 12 below.

5. Data Processing

- a) All data processing purchases such as hardware, software, maintenance and contractual services must conform to a Board of Trustees' approved five (5) year plan for the campus making the acquisition, and where relevant, shall be compatible with standards for computer architecture established by the Office of Information & Technology (OIT).

- b) Existing Board of Trustees' policies and resolutions concerning data processing must be followed.
- c) All data processing purchases exceeding \$25,000 must be approved by the Council of Vice Presidents for Finance and Administration. These purchases will be submitted to the CSU Information Systems Office for review by the Council on a form developed by the campus Directors of Purchasing.

6. Special Purchases Exceeding \$25,000

All emergency and non-competitive purchases greater than twenty-five thousand dollars (\$25,000) must be approved by the Council of Connecticut State University Vice Presidents for Finance and Administration. Such purchases must be accompanied by a justification and submitted to the Vice President for Finance and Management in the Executive Office. In an emergency, the Council may convene by telephone caucus. A Connecticut State University data processing representative shall be a participating member of the Council whenever data processing items are on the agenda.

7. **OPERATIONAL EFFICIENCY CONTRACTS**

The **CHIEF PURCHASING OFFICIAL** of each University may approve establishment of contracts wherein the primary consideration will be **FACTORS OTHER** than price. Criteria to be used in approving such contracts will include travel time, administrative cost savings, availability, and product application, e.g., emergency repairs versus routine maintenance. **SUCH APPROVAL WILL BE IN THE FORM OF THE CHIEF PURCHASING OFFICIAL'S SIGNATURE ON THE PURCHASE REQUISITION, FOLLOWED BY THE WORDS "OPERATIONAL EFFICIENCY CONTRACTS". SUCH PURCHASES SHALL NOT EXCEED \$25,000.**

8. Disqualified Vendors

- a) Pursuant to Connecticut General Statutes Section 4a-63, the University shall not issue purchase orders to, or enter into personal services agreements with any person, firm or corporation disqualified from doing business with the State by the Commissioner of Administrative Services provided each University is notified of said disqualifications in writing.
- b) Within CSU vendors may be disqualified for six months from date of disqualification for failure to comply with contract terms and conditions; such vendor's name will be communicated to the CSU Purchasing Flexibility Committee.

9. University Contracts

The CSU Purchasing Flexibility Committee may establish University contracts for frequently ordered goods and services. All purchases using University contracts shall be in accordance with the terms and conditions set forth therein. Coordination with other units of Higher Education for bulk price savings shall be encouraged.

10. Restricted Funds

No purchase orders shall be issued and no personal service agreements shall be entered into by the University if doing so would violate restrictions placed on funds by the funding source.

11. Nondiscrimination

All purchases made by the University under its own authority shall be in full compliance with current statutes regarding nondiscrimination. Standard terms and conditions related thereto, as set forth by the Department of Administrative Services/Bureau of Purchases and approved by the Attorney General, shall be incorporated into each request for quotation and purchase order issued by the University. Contract Compliance Regulations (Connecticut General Statutes Section **4a-60**) and Set-Aside Program Regulations (Connecticut General Statutes Section 32-9e) will be followed by each University.

12. Reporting

The annual report of the President shall include a statement of all emergency purchases made under the provisions of paragraphs 4, 5 and 6.

13. Interpretation

Disputes regarding the interpretation of the relevant statutes or their applicability to any purchase may be resolved by the Attorney General if the individual University Vice President for Finance and Administration determines that he/she cannot render a decision.

[proced#85]