

PURCHASING POLICIES AND PROCEDURES OF THE TOWN OF SOUTHBURY



Adopted and Approved by the Board of Selectmen

October 2, 2025

Town of Southbury
Purchasing Policies and Procedures

The mission of the Town of Southbury Purchasing Department is to provide quality service to the residents of Southbury by procuring the highest quality material, equipment, and services while considering such factors as value, delivery, lowest overall cost, and liabilities for all Town Departments. Purchasing Policies are defined by the Town of Southbury's Charter section 704 and incorporate the concept of open competitive bidding. Under this policy, purchase awards are given to responsible and responsive suppliers that meet all specifications, requirements, objectives, and conditions, and have the capacity to perform and deliver the specified material, equipment, or services in a timely manner.

The Board of Selectmen may in the event of a public emergency, or when in its judgement compliance with this policy is neither feasible nor in the best interest of the Town, waive the provisions of this policy. Such action, together with the rationale, shall be documented in the minutes of the meeting at which the waiver is approved.

Chapter 2. Authority for Procurement

The Finance Director serves as the Purchasing Authority for the Town, directs the purchasing program through their purchasing department and has the responsibility to purchase and oversee the materials, equipment, supplies, and services necessary for the proper and efficient operation of the Town and its departments.

The Purchasing Department and the designated personnel, under the direction of the Finance Director, are authorized to function as its agent and their responsibility is to comply with this policy and function with integrity. It is a policy of the Town of Southbury that all suppliers are treated fairly and on an equitable basis.

All Town departments shall assist the Purchasing Department function in conducting and adhering to the Policies and Procedures in this document. All revisions to the Town's Purchasing Policies and Procedures shall be formally issued by the Finance Director and adopted by the Board of Selectman.

There are differences between policies and procedures within this document as defined below:

Policy

A policy is the written governing principle and guideline that is required by Town Charter and defines general limits, direction, and authority of the procurement function. All individuals in the procurement process are expected to adhere to the policies and guidelines to assure compliance with all local and state statutes.

Procedures

Town of Southbury
Purchasing Policies and Procedures

Procedures are a series of related tasks that make up the sequence or the established way of performing the work function in the procurement activities. Procedures should incorporate or reference the Town's policies and standards as well as those imposed by the state of Connecticut law and statutes.

Chapter 3. Ethics in Procurement

General

The Town Charter and Code of Ethics define the standards of ethical behavior for all Town employees and members of Boards and Commissions relating to all procurement activities.

Conflict of Interest

When conducting business, the Town expects its employees and members of Boards and Commissions to treat every supplier with fair and equitable principles, always using good judgment during activities related to the procurement of goods and services.

No purchase shall be made, nor services secured from any Town official or employee of the Town, or from an entity of which such employee or official or immediate family member is a partner, officer, or holds substantial interest, unless purchase is made known in writing and approved by the Board of Selectmen.

All individuals should review the details with their supervisors or consult the Town's Ethics Commission on questions related to this policy.

Unfair Buying

It is unethical to make awards based on favoritism, habit buying, or to exclude suppliers from competition based on unsubstantiated opinions. No Town employee or member of a Board or Commission lacking the authority to purchase shall represent that they have such authority.

Endorsement

The Town does not officially endorse a supplier or products to other potential customers of the supplier. Listing of the Town without promotional language is not an endorsement.

Samples

The Town or its representatives shall not accept samples on a "gratis" basis except when required for evaluation. When goods valued over \$100 are delivered for evaluation or field trial, an evaluation purchase order at no charge must be issued to the supplier.

Personal Use

Under no circumstances should an employee purchase materials, goods, or services from a supplier for personal use by giving the impression the purchase was for the Town. If a supplier makes general practice of providing discounts to Town employees, Town employees may accept

Town of Southbury
Purchasing Policies and Procedures

these discounts on their personal purchases. However, the sale must not name the Town as the purchaser.

Gifts and Hospitality

Town employees and members of Boards and Commissions may not accept, solicit, or give the appearance even indirectly of accepting loans, substantial gifts, hospitality or any other item of value or appearance even indirectly of accepting loans, substantial gifts, hospitality or any other item of value or service of monetary value from any entity with which the Town does business, or is likely to do business. This shall not apply to situations in which the entity's business is not related to the employee, board, or commission member's responsibilities.

Violations

No employee or members of Boards and Commissions shall be excused from complying with the Purchasing Policies and Procedures, Town Code of Ethics, general principles of procurement ethics, or any specific rules or standards contained in this policy. Any employee violation may be subject to disciplinary action including termination of employment. Violations by members of Boards and Commissions are covered under the rules of the Town's Ethics Commission.

Freedom of Information Act (FIOA)

The Town of Southbury follows the State of Connecticut Freedom of Information Act requirements. A copy of the act is available on the State's website www.state.us/foi.

Chapter 4. Thresholds and policies for general purchasing and competitive bidding

Competitive bidding can only take place when there is more than one qualified supplier.

Town of Southbury
Purchasing Policies and Procedures

Expenditure	Action
\$0 - \$1,500	Department Heads shall approve expenditure with the Finance Director as long as the purchase is in the best interest of the Town and a reasonable number of quotes have been obtained.
\$0 - \$7,500	Finance Director must approve all expenditures as long as the purchase is in the best interest of the Town and three quotes are obtained.
\$7,501 - \$25,000	Finance Director and the First Selectman must approve as long as the purchase is in the best interest of the Town and three quotes are obtained.
Above \$25,000	Sealed bids are required and the award shall be made at a public meeting of the Board of Selectman and documented in the minutes thereof based on a review of the tabulation sheet of the sealed bids received

Quotes

All quotes shall be documented in writing. Telephone quotes must be confirmed in writing via email. Unless market conditions have significantly changed, quotes are valid for one year.

Chapter 5. Competitive Bidding

The Town of Southbury's procurement decisions are to be made using a competitive bidding process. Competitive bidding requires sufficient time to conduct the bidding process. This policy is intended to promote an effective balance to ensure:

- a. Confidence the Town will seek the best value for taxpayer dollars.
- b. Financial and operational transparency
- c. Clear guidance for Town staff
- d. Operational efficiency

General Policies for Bidding:

Town of Southbury
Purchasing Policies and Procedures

1. Bids shall be awarded to the lowest qualified, responsible bidder. Requests for bids will be posted on the town website, CT Source portal, published in various media outlets, and sent to bidders the Town deems qualified per bid request standards.
2. All expenditures over \$25,000 require a sealed bid with the award made public at a Board of Selectman meeting and documented in the minutes listing the tabulation of all sealed bids received.
3. Expenditures to be fully or partially funded by third party sources (grants, insurance proceeds, etc.) shall be approved based on the total funds expended unless the third party requires a different process.
4. Splitting purchases to avoid purchasing policy limits, approval requirements, or any other procurement/bidding policy is prohibited.
5. When sealed bids are required and only one bid is received, the bid will be evaluated by staff to determine whether the bid is fair and reasonable and reflects a sound value for the town. The results of this evaluation shall be reported to the Board of Selectman and should include:
 - a. Evaluation of anticipated price competition by the bidder
 - b. Examination of catalogues established price lists, government contracts.
 - c. Review of prior bid results
 - d. Comparison pricing of comparable items
 - e. Review of like sales and purchases
 - f. Application of parametric and statistical estimating methods
 - g. Review of historical prices
 - h. Utilization of independent estimates and analysis of pricing information provided by the bidder
 - i. Sealed bids will be approved by the Finance Director and First Selectman to ensure the bids are not self-selected or rigged. The Town reserves the right to reject any or all bids / proposals/ statement of qualification or any part thereof.
 - j. All requests for sealed bids / proposals/ qualifications shall be notices in appropriate media, posted on the Town website, and may be posted on other appropriate websites.
 - k. All sealed bids will be opened publicly by the First Selectman, Finance Director, or a designee appointed by either or both for such purposes, at a pre-announced time and place prior to the date the Board of Selectman considers them.
 - l. A bid control sheet listing the names of the bidders and amounts of the bids will be prepared and signed the those opening the bids and given to the Board of Selectman for review.
6. Bids submitted by Southbury Taxpayer will be given preference if more than two bids are deemed to be equal.
7. Any bidder found by the Tax Collector to be delinquent in the payment of taxes for either personal or real property shall not be deemed a qualified bidder.
8. No purchase order for expenditures approved in accordance with this policy shall be issued prior to completion of a vendor due diligence process established by purchasing procedures and receipt of requisite vendor W-9 forms.
9. It is the responsibility of the Finance Director to proactively pursue and implement best practice procedures that in turn implement this and other control and fiscal policies within the town government.

Town of Southbury
Purchasing Policies and Procedures

Obtaining multiple quotes is best practice and encouraged in all circumstances. However, the Town had deemed the following purchases / expenditures exempt from this policy:

1. Insurance: e.g., medical, liability, property, bonds, workers compensation, etc.
2. Payments to Town approved entities that have been incorporated in the Town budget.
3. Utilities: e.g., electricity, natural gas, water, phone, fuel (diesel, gasoline, and heating oil), based on a good faith market review in consultation with the Finance Director and First Selectman.
4. Legal, accounting, actuarial and insurance brokerage services.
5. Expenditures for maintenance/support agreements, licensing, additional modules, and/or professional services obtained from vendors who have supplied the related hardware, software or service already deployed by the Town.
6. Items purchased from the State of Connecticut's official competitive bid list.
7. Items purchased from competitive bid lists compiled by purchasing cooperatives or regional purchasing agencies, provided that the Board of Selectmen has previously approved such entities.

Chapter 7. Special Provisions

Rental of Construction Equipment

1. The Town of Southbury acts as its own general contractor on selected road improvement and maintenance projects utilizing its own workforce and equipment. At times, the Town needs to supplement its own equipment and operators with construction equipment and operators rented from local contractors. These special provisions regarding rental of construction equipment are intended to establish a specific framework within which:
 - a. The Director of Public Works shall identify and recommend contractors from which the Town will rent equipment needed for construction projects,
 - b. Appropriate elected officials will review and/or approve specified aspects of the rentals; and
 - c. Adequate information will be made publicly available to ensure financial operational transparency. Accordingly, these following provisions shall apply, in addition to the general provisions above, to transactions involving rental of construction equipment. Should any of these special provisions be inconsistent with the general provisions set forth above, the special provisions shall control.
2. At least every three years, the Town shall issue a Request for Qualifications ("RFQ") to identify contractors that meet certain minimum criteria established by the town. At a minimum, such criteria shall include:
 - a. A strong safety record.
 - b. A record of doing highway or relevant equipment related work.
 - c. A reasonable familiarity with the Town and the working of its highway department.
 - d. A record of maintaining its equipment in good operating condition.

Town of Southbury
Purchasing Policies and Procedures

- e. The ability to provide operators who can work with minimal supervision and effectively interfacing with the Town's public works, employees, and equipment.
 - f. That they be headquartered within reasonable proximity of the Town.
- 3. Responding to such RFQs will be directed to pick up a full list of required qualifications, to be prepared by the Director of Public Works, from the Office of the First Selectman or town website.
- 4. Prior to publication, any such RFQ and its accompanying list of required qualifications shall be approved by the Board of Selectmen.
- 5. A committee, consisting of the Director of Public Works and other members who have the requisite knowledge or experience to effectively review the RFQs, shall be appointed by the Board of Selectmen to review information received in response to the RFQ and shall recommend not more than 10 contractors for inclusion on a Selected Contractors List.
- 6. The proposed Selected Contractors List shall be reviewed and approved by the Board of Selectmen. The First Selectman may recommend to the Board of Selectmen additions or deletions to the Selected Contractors List for valid reasons (including but not limited to contractor capabilities, performance on past projects and ability to work with Town personnel), subject to the maximum limit set forth above on contractors to be included on such list.
- 7. In January of each year the Public Works Department shall request those on the Selected Contractors List to submit a sealed bid for the rental of available equipment in accordance with the Town's Procurement/Bidding Policy. The Public Works Department shall prepare a bid proposal based on the equipment they anticipate will be needed through the construction season. This should not prevent contractors from providing additional information for alternate equipment that may be available for rent. The bid will include: A list of all equipment available for rent, the rental cost per hour/day (including the cost of qualified operators, which would not have to be at Federal Wage Rates) and delivery. Those costs are to be effective for the entire calendar year.
- 8. The Selected Contractors List and the bids of each such contractor will be posted on the Town's website.
- 9. Prior to the commencement of road construction projects, the Director of Public Works will update the projection of construction equipment to be rented and the time for which it will be needed, and calculate - for each Selected Contractors List contractor, based on its submitted rental costs - the total projected equipment rental cost for each road construction project and post it on the Town's website.
- 10. The Public Works Department will, in accordance with special provisions 11, 12, 13, or 14 below, select the lowest qualified, responsible bidder on the Selected Contractors List who has available the equipment and operator(s) required for the particular project during the entirety of the time in which the project is estimated to be ongoing by the Director of Public Works. In selecting the lowest qualified, responsible bidder, the Director of Public Works shall consider the totality of the equipment that is needed for a particular project and may aggregate the total cost of the equipment that is needed in order to determine who the lowest bidder is so that the Town may rent all of the equipment from a single contractor for a given project. If more than one contractor from the Selected Contractors List is deemed to be the lowest qualified, responsible bidder, any contractor who is also a Southbury taxpayer shall be given preference. The Director of Public Works shall select

Town of Southbury
Purchasing Policies and Procedures

the contractor or propose for approval by the First Selectman or Board of Selectmen a contractor for equipment for a specific project.

11. The award of the contract shall be posted on the Town's website.
12. To assure continuity throughout the duration of a specific project and efficient management of construction activities, following the selection of a contractor for a specific project all equipment necessary to complete such project may be rented from the selected contractor, regardless of whether the equipment appears on the Contractor's submitted price list.
13. When construction equipment is not available through the price lists submitted on the Selected Contractors List, the Director of Public Works shall attempt to obtain rental cost quotations from Selected Contractors List contractors. If such equipment is not available through those contractors, it may be rented from other sources. In renting such equipment, the Director of Public Works shall estimate the cost of renting the equipment over the three (3) written quotations. If the cost is expected to be greater than \$7,500, but not to exceed \$25,000, the First Selectman must approve of the selected contractor after the Director of Public Works obtains three (3) written quotations. If the cost is expected to be greater than \$25,000, the contractor shall be selected by the Board of Selectmen based on a review of sealed bids received, except that in the case of an unforeseen circumstance during the course of a project, the First Selectman may approve the selected contractor after the Director of Public Works gets three (3) written quotations.
14. If required, requests for bids will be published in a newspaper or other accepted media of general circulation in the area as well as being sent directly to bidders.
15. The Director of Public Works is authorized to rent construction equipment from the lowest qualified, responsible bidder from the Selected Contractors List as set forth herein, for unforeseen emergencies involving public safety, and/or for any other projects where the projected rental cost is not to exceed \$7,500, provided that such approval is for construction equipment from the lowest qualified, responsible bidder from the Selected Contractors List as set forth herein.
16. The First Selectman must approve, except in an unforeseen emergency involving public safety, rental of construction equipment for projects where the cost is projected to be more than \$7,500, provided that such approval is for construction equipment from the lowest qualified, responsible bidder from the Selected Contractors List as set forth herein.
17. Rental of construction equipment from the lowest qualified, responsible bidder from the Selected Contractors List as set forth herein, for jobs where the cost thereof is projected to exceed \$25,000, shall be reported by the Director of Public Works to the Board of Selectmen at its next meeting after making such a determination.

Town of Southbury
Purchasing Policies and Procedures

The Town of Southbury occasionally requires engineering services for a wide variety of projects, ranging in complexity, size, and duration. These special provisions regarding call engineering are intended to establish a specific framework and procedure the Town will use to identify and prequalify a list of engineers and to choose an engineering firm to provide engineering services when the need arises. The goal is to provide adequate information to the public to ensure financial and operational transparency. Accordingly, these following provisions shall apply, in addition to the general provisions above, to transactions involving engaging on-call engineers to provide engineering services.

Should any of these special provisions be inconsistent with the general provisions set forth above, the special provisions shall control.

1. At least every three years, the Town shall issue a Request for Qualifications ("RFQ") to identify On-Call Engineers that meet certain minimum criteria established by the Town. The consulting engineering firms must demonstrate the ability to provide a wide range of engineering services that may include some or all of the following: highway and bridge design, writing bid documents and specifications, environmental permitting, landscape architecture, civil engineering, project planning and administration, traffic engineering, construction inspection services, land surveying, grant application preparations, contract.
2. Each engineering consultant will be required to submit a Statement of Qualifications in each of their fields of expertise, including a letter of interest, a profile of the firm, number of employees listing fields of experience, proposed subcontractors, and resumes of key personnel. A proposed fee schedule for all individuals who provide services, listed by title, shall also be submitted. All other fees such as mileage or overhead must also be provided. A list of clients, with contact people, telephone numbers and addresses should also be included for reference checks and government projects that have been completed in the last five years.
3. A committee, consisting of the Director of Public Works, the First Selectman and other members who have the requisite knowledge or experience to effectively review the RFQs, shall be appointed by the Board of Selectmen, to review information received in response to the RFQ and shall recommend no fewer than three (3) and not more than ten (10) contractors to become On-Call Engineers for the Town.
4. The proposed On-Call Engineers shall be reviewed and approved by the Board of Selectmen. Each On-Call Engineer shall enter a contract with the Town of Southbury for a period not to exceed three years and agree to maintain the prices in their fee schedule for the duration of the contract.
5. When the need for engineering services arises for a defined project, Town personnel will contact all the On-Call Engineers and ask them to submit estimates for the work to be done to complete the project. These estimates or proposals will be reviewed and evaluated by Town personnel and should be retained in accordance with the State of CT retention schedule (currently three years after audit). Town personnel shall identify the consultant who provided the most cost-effective estimate or proposal that provides the best value to the Town. Once the consultant who will do the work is identified and approved by the First Selectman, the reasons for this choice will be documented and, if the cost is over \$25,000, will be reported to the Board of Selectmen at its next meeting.

Town of Southbury
Purchasing Policies and Procedures

6. When the need for engineering services arises for a project that is not yet defined, the Town personnel will contact all the On-Call Engineers and describe the goal of the project and ask them to submit a proposed scope of services and associated costs. These proposals will be reviewed and evaluated by Town personnel and should be retained in accordance with the State of CT retention schedule (currently three years after audit). Town personnel shall identify the consultant who provided the most cost-effective proposal that provides the best value to the Town. Once the consultant who will do the work is identified and approved by the First Selectman, the reasons for this choice will be documented and, if the cost is over \$25,000, will be reported to the Board of Selectmen at its next meeting.
7. If the Town personnel conclude that the On-Call Engineers do not have the right level of expertise for a particular project, or it is determined that it is the best interests of the Town to contract with another consulting firm, the General Provisions of this policy would apply. In addition, if the Town personnel believe that a particular project would benefit by having additional engineers bid on that project, the General Provisions of this policy would apply.

On-call Maintenance and Repair Trades

The Town of Southbury utilizes the services on on-call maintenance and repairs for minor work done in Town buildings.

1. No less than once every three (3) years the Board of Finance and Board of Selectmen shall recertify following the process described in III A, a list of all trades companies which may be used for maintenance and repair work without bidding on specific projects.
2. Trade shall include but not be limited to electricians, plumbers, HVAC technicians, vehicle repair, carpenters, painters, masons, roofers, locksmiths, etc.
3. Under this special provision work orders may be issued when the total project is not expected to exceed \$7500.
4. The periodic certification shall include hourly rates with an appropriate COLA escalator.
5. The list, where possible, should have three (3) or more tradesmen per trade. Rotation among the trades should be a goal with preference to those with unique skills, experience, and history of timely response and speedy execution.

Chapter 8. Federal Procurement

Any procurement made pursuant to a federal award or subject to reimbursement, in whole or in part, with federal funds must comply with the Town of Southbury's purchasing procedures, state law, and the applicable Federal Procurement Requirements, including 2 CFR § 200.322 ("Procurement of recovered materials"), 2 CFR § 200.323 ("Contract cost and price"), 2 CFR § 200.324 ("Federal awarding agency or pass-through entity review"), 2 CFR § 200.325 ("Bonding requirements"), and 2 CFR § 200.326 ("Contract provisions"). In the event of any conflict between Town, State, or federal requirements, the most stringent requirement must be used. (See 2 CFR § 200.318.) Town employees must comply with funding agency requests for a review of technical specifications or procurement documents as provided in 2 CFR § 200.324.

Chapter 9. Emergency Procurement

Town of Southbury
Purchasing Policies and Procedures

Emergency procurement applies to all actions that may be required to mitigate damage or to make emergency repairs to the Town's infrastructure and purchase supplies when a local emergency is declared by the Board of Selectman, State or Federal government. This policy will automatically take effect when there is a threat to public health, welfare, or safety and will end when circumstances return to normalcy.

1. The Town will use a simplified purchasing procedure to contract vendors that provide goods and services to the Town without the need for competitive bidding for all purchases exceeding \$50,000.00.
2. The Town authorizes the use of oral solicitations when processing a written solicitation would delay the acquisition of material and supplies to the detriment of the Town's emergency response.
3. The Town authorizes the Finance Director and First Selectman to enter preliminary contracts when there is a need to start the work immediately. This contract would include a time and a not to exceed payment schedule.

At the end of any declared disaster the Finance Director provides a written report to the Board of Selectman and the Board of Finance detailing the purchases made during the declared disaster.

Chapter 10. Receipt of Goods and Services

Department Head and/or their Designee receiving goods and services should, upon acknowledging receipt of an order, conduct an inspection to verify the following prior to signing off:

1. The products received conform to the purchase order requirements and other relevant documents (correct model, description, size, type, etc.).
2. The quantity received against the quantity ordered and delivered.
3. There is no damage to the products received.
4. The unit of measurement is correct.
5. Confirm receipt against packing slip.
6. All items are operational at the time of receipt.
7. Suppliers are not allowed to substitute products or deliver more than amount orders without prior authorization from the Fiscal Office and an approved purchase order change order.
8. Department Heads should contact the Fiscal Office if a partial delivery is received without an acknowledgement from the supplier.
9. Department Heads are required to notify the Fiscal Office as well as the supplier when an order is rejected.
10. The Fiscal Office will confirm the return of the rejected items and request a credit memo from the supplier.

The Board of Finance shall periodically, through the internal auditors, review compliance with this policy.

Town of Southbury
Purchasing Policies and Procedures