

Financial Policy

City of Great Falls, Montana

July 1, 2020



City of Great Falls
Financial Policy

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City of Great Falls Purchasing Policy

Introduction

The City of Great Falls (City) Purchasing Policy is to ensure that the purchasing function meets the current and future needs of the City. The City will take care to ensure that it complies with Federal laws, Montana laws and City ordinances for all expenditures. The public can rely on the City to make fair, competitive, and open purchasing decisions that are in the best interest of the City.

General Provisions

- 1) No employee will personally benefit from a contract or purchase entered into by the City.ⁱ
- 2) No employee will use City funds for personal purchases of any nature.ⁱⁱ
 - a) Authorized personal use of City provided cell phone, data services, and internet usage is allowed in certain cases, according to the City's Employee Conduct and Technology Policies in the [Personnel Policy Manual](#).ⁱⁱⁱ
 - b) Authorized personal use of City provided vehicles for commuting is allowed in certain cases, according to an Administrative Order 3-06 issued by the City Manager.^{iv}
 - c) Itemized receipts and invoices are required for all purchases; details must be shown to ensure the public can determine exactly what is being paid for including individual units purchased and/or hours of service and associated rate for each.
 - d) All boards, committees or other recognized entities of the City wherein a City employee is the authorized approver of the board's purchases must comply with this purchasing policy. Any board or committee given independent purchasing authority by law or the City Commission including Library Board Trustees, should comply, to the greatest extent possible, with the requirements of this policy.
- 3) Department Head, Finance Director and City Manager, when required, will electronically approve all purchases through the accounts payable system.
- 4) Purchase Orders will be completed and approved electronically PRIOR to purchase as required by this financial policy.
- 5) Trading or bartering services, equipment, supplies, etc. is prohibited.

Transactions with Employees, Appointed or Elected Officials, and Related Parties

City employees are subject to the provisions of Title 2 of the Official Code of the City of Great Falls (City Code) and Title 2, Chapter 2, Montana Code Annotated (MCA). This portion of the City Code and Montana law essentially restricts public employees or their family members, from utilizing information, accepting gifts, benefits, or participating in or having interest in business undertakings or employment, which would affect their economic interests, influence the faithful and impartial discharge of their public duties, or create the appearance of impropriety.^v

Credit Card Transactions

The purpose of the credit card program is to establish a more efficient, cost-effective method of purchasing. The program was designed as an alternative to the traditional purchasing process for supplies, materials, and travel. The credit card can be used with any supplier that accepts the designated bankcard as a form of payment. It should be noted, however, that users shall conform to the City purchasing policy as well as state purchasing laws when using the credit card program. The Finance

Director will approve all credit card applications. The Finance Department will monitor activity of all credit card transactions.

- 1) Departments requesting a new credit card or changes to an existing credit card must be made in writing to the Finance Director and must include the following information:
 - a) Reason for the card
 - b) Dollar limit of the credit card
 - c) Who will be in charge of the credit card
- 2) If cardholder experiences denials when using the City credit card the employee should notify the Finance Director as soon as possible so the denial can be investigated.
- 3) The Finance Department will maintain a list of available credit cards for all departments, which will include the credit limit and expiration date of each card.
- 4) Credit cards may be removed from department's possession at the discretion of the Department Head or Finance Director.
- 5) When a credit card is checked out from the department or the credit card number information is given, a check-out/check-in procedure is necessary. The check-in/check-out form must include the following information:
 - a) Date and time of removal
 - b) Name of person card checked out to
 - c) Approved by
 - d) Purpose of use
 - e) Receipts returned with credit card
 - f) Date and time of return
 - g) Checked in by
- 6) Any employee checking out the credit card will need to read and sign the City Credit Card Procedures Employee Acknowledgment form available from the Finance Department.
- 7) Documentation detailing the purchase with the City credit card is required for all transactions. Adequate documentation may consist of, but is not limited to original detailed receipts, credit slips, etc. At no time shall the City approve payment of credit card invoices without adequate documentation.
- 8) City credit cards shall not be used for purchase of personal purchases, cash advances, or other category exclusions (alcohol, tobacco, entertainment, cash refunds for returned purchases, etc.)
- 9) Any employee of the City of Great Falls who violates the provisions of the credit card policy shall be subject to disciplinary action, up to and including discharge and/or civil and/or criminal action. The Disciplinary Policy is located in the [Personnel Policy Manual](#) or applicable Collective Bargaining Agreements.
- 10) Employees to whom credit cards are issued for City purchases shall be responsible for the protection and custody of the credit card, if the card is lost or stolen, the employee will immediately notify the issuer of the credit card, Department Head, and the Finance Director. Employees shall not knowingly post or otherwise make publicly available credit card data that could potentially result in fraudulent charges.
- 11) Employees to whom credit cards are issued for City purchases shall immediately surrender the card upon termination of employment or layoff from active work status.
- 12) All benefits derived from use of credit cards are property of the City.
- 13) The credit card shall not impact the employee's personal credit references. The City issued credit card is a City liability, not a personal liability card.
- 14) No credit cards of any type shall be applied for, or accepted, without the written consent of the Finance Director.
- 15) City credit cards will be reconciled monthly

- a) Each time a purchase is made the receipt or other documentation will be given to the proper personnel in the department to process and enter into Accounts Payable for payment.
- b) When the monthly statement is received, each department will verify all charges are accurate and have been submitted for payment.
- c) The balance due on any credit card account shall be paid in full by the due date listed on the statement but in no case no later than sixty days from the original statement date. All finance and late charges will be charged to the department that acquires them. Consistent finance and late charges may be grounds for cancellation of department credit card.
- d) All credit card statements will be mailed to the individual departments, each department will reconcile the statement, and process any needed payments.

Meal and Food Purchases

In many cases, it is to the City's advantage to provide food to employees and volunteers while they are conducting City business, or in special cases of recognition or award. Meal and food purchases are subject to all existing purchasing and approval requirements. The [Travel Policy](#) is located on the City's intranet in Shared Documents.^{vi}

- 1) Non-Per Diem meal and food purchases must have itemized receipts signed by Department Head and may include a tip up to 20%.
- 2) Per Diem amounts are established by the Travel Policy, and do not require receipts, refer to Travel Policy for specific information.
- 3) The purchase of alcohol or tobacco with City funds is prohibited.

Information Technology Services, Software, & Hardware Purchases

All technology related purchases must be approved and coordinated by the Information Technology Operations Manager PRIOR to purchase. This includes hardware (e.g. computers, laptops, tablets, monitors, routers, telephones, printers, etc.), software (e.g. Microsoft Office, PDF Editors, etc.) and services (e.g. Web/application hosting, adding network lines, etc.) Excluded are cellular/smart phones as each department manages their own devices/plans. The Information Technology department often receives special pricing due to bulk ordering and/or the availability of national, regional and state technology-related contracts. Refer to the Information Technology Purchasing Policy for specific information.^{vii}

Central Garage

All vehicle and mobile equipment (trailers, other types of mobile equipment, etc.) related purchases must be reviewed by the Central Garage Fleet Supervisor and approved by the City Manager, if required, PRIOR to purchase through the electronic purchase order process.

Prevailing Wage Requirements

Contracts over \$25,000 must be reviewed for Montana's prevailing wage requirements Section 18-2-402 MCA.^{viii} Federally funded projects may require the use of Federal prevailing wage rates for projects over \$2,000, The Davis Bacon Act.^{ix} Each project must be individually reviewed for prevailing wage and funding requirements.

Documentation and Selection of Vendors

The City seeks the lowest life-cycle costs when comparing like goods. Estimated useful life and maintenance costs must be documented whenever the costs are factored into purchasing decisions. Contracts for services are awarded to the lowest most responsible vendor or bidder. When determining which vendor or bidder is the “lowest responsible” the City may take into consideration generally available information regarding the vendors or bidders skill, ability, integrity, conscientious work, and ability to promptly fulfill the contract according to its letter and spirit. (Considerations may include, but not limited to, qualifications, available staff, references, delivery date, inspection, testing, quality and workmanship, etc.) **Dividing related elements of the same project into multiple parts, in order to avoid bidding or vendor quote requirements is prohibited^x.** The purchase amount requirements are listed below.

Purchasing Supplies and Equipment

Purchases of supplies and equipment are items such as office supplies, office furniture, vehicles, mobile equipment, etc. Supplies are not items that would be used in construction of any project, repairs, or maintenance.

- 1) **Purchases up to and including \$25,000** the department may purchase at the Department Head’s discretion. Two written or oral quotes or other supporting documentation is recommended.
- 2) **Purchases over \$25,000 and up to \$80,000** the department shall solicit a minimum of two written quotes. Documentation must accompany the request for approval. The City Manager must approve the purchase through the electronic purchase order process prior to ordering the supply or equipment.
- 3) **Purchases over \$80,000** for automobiles, trucks, other vehicles, road machinery, other machinery, apparatus, appliances, equipment, must follow the formal advertisement process outlined in Montana law and have City Commission approval by agenda item.^{xi}
- 4) **Replacement** of current vehicles and equipment the vehicle or equipment may be traded-in as a part of the replacement purchase.^{xii} Trade-in values should be clearly stated on the invoice, and approved by the Department Head. All vehicle and mobile equipment (vehicles, trailers, mobile equipment, etc.) related purchases must be reviewed by the Central Garage Fleet Supervisor and approved by the City Manager, when required, PRIOR to purchase through the electronic purchase order process. Machinery and Equipment forms must be filled out and returned to the Finance Department.
- 5) **Cooperative Purchasing Agreements** for supplies, equipment, and other professional services may be purchased through purchasing agreements entered into with another government entity or use of state contracts without additional bids or advertisements when done so at a savings to the City. Some of the state contracts and City agreements include but are not limited to US Communities, Source Well, NIPA, HGAC, etc.^{xiii}
 - a) It should be noted that these purchasing arrangements are often, but not always, the lowest prices available.
- 6) **Special Cases for Sole Source Purchases** bids or quotes are not required where it is in the best interest of the City to maintain a compatible and/or reliable system provided by a single vendor or professional. The sole source form must be provided to the Finance Department for approval through the electronic purchasing process prior to purchase.^{xiv}
 - a) The requirements for formal advertising process for purchases of supplies/equipment and services over \$80,000 may be waived by the City Manager. Approval must be documented and obtained PRIOR to purchase.
 - b) The waiver applies when:

- i) There is only one source for the supply or service of the item (e.g. a vendor’s warranty service, exclusive vendor required maintenance agreements), or
 - ii) Only one source is acceptable or suitable for the supply or service item, or
 - iii) The supply or service must be compatible with current supplies or services, or
 - iv) A collective bargaining agreement or other contract requires the utilization or employment of a specific good or professional.
 - c) Where state and local law require a good or service to be provided by a specific entity (Election Administration, Detention Center Fees, etc.), quotes are not required.
- 7) Regardless of the amount of a purchase that includes both supplies/equipment and services, the policy thresholds will apply to a “supplies and/or equipment purchase” when 51% of the total purchase price is for supplies/equipment. The same method applies to a “services purchase” when 51% of the total purchase price is for services.^{xv}

Repairs to Equipment

Repairs to equipment includes repairs and maintenance to items such as copiers, overhead doors, windows, water heaters, etc. Repairs do not include work such as alterations, remodeling, etc.

- 1) **Repairs up to and including \$25,000** the department may purchase at the Department Head’s discretion. Two written or oral quotes or other supporting documentation is recommended.
- 2) **Repairs over \$25,000 and up to \$80,000** the department shall solicit a minimum of two written quotes. Documentation must accompany the request for approval. The City Manager must approve the purchase through the electronic purchase order process and it must be listed on the contracts list for the City Commission approval prior to scheduling repairs.
- 3) **Repairs or maintenance over \$80,000** must follow the formal advertisement process outlined in Montana law and have City Commission approval by agenda item.^{xvi}
- 4) **In the case of an emergency or disaster** declared under Title 10, Chapter 3, Section 401 MCA, the purchasing rules may be suspended.
- 5) **Special Cases for Sole Source Purchases** bids or quotes are not required where it is in the best interest of the City to maintain a compatible and/or reliable system provided by a single vendor or professional. The sole source form must be provided to the Finance Department for approval prior to purchase.^{xvii}
 - a) These requirements for purchases of supplies/equipment and services over \$80,000 may be waived by the City Manager. Approval must be documented and obtained PRIOR to purchase.
 - b) The above applies where:
 - i) There is only one source for the supply or service of the item (e.g. a vendor’s warranty service, exclusive vendor required maintenance agreements), or
 - ii) Only one source is acceptable or suitable for the supply or service item, or
 - iii) The supply or service must be compatible with current supplies or services, or
 - iv) A collective bargaining agreement or other contract requires the utilization or employment of a specific good or professional.

Architectural, Engineering, and Land-Surveying Services

Architectural, engineering, and land surveying services and negotiated contracts for such professional services are made based on demonstrated competence and qualifications for the type of professional services required and at fair and reasonable prices. Refer to the separate Architects, Engineers, and Surveyors policy prepared by Public Works. Any project involving construction, remodeling, master

planning, or rate study should receive an Office File number and a project number assigned by an [Intent to Create Form](#).

Construction

Construction includes new construction, remodeling, additions to existing buildings, etc. Any project involving construction, remodeling, master planning, or rate study should receive an Office File number and a project number assigned by an [Intent to Create Form](#).

- 1) **Construction up to and including \$25,000** the department may purchase at the Department Head's discretion. Two written or oral quotes or other supporting documentation is recommended.
- 2) **Construction over \$25,000 and up to \$80,000** the department shall solicit a minimum of two written quotes. Documentation must accompany the request for approval. The City Manager must approve the purchase through the electronic purchase order process and it must be listed on the contracts list for the City Commission approval prior to the beginning of construction.
- 3) **Construction over \$80,000** must have the City Commission approval by agenda item and follow the formal advertisement process outlined in Montana law.^{xviii}
- 4) **In the case of an emergency or disaster** declared under Title 10, Chapter 3, Section 401 MCA, the purchasing rules may be suspended.

Non-Construction Services

Non-construction services may include maintenance, custodial, security services, mail handling, etc.

- 1) **Non-Construction services up to and including \$25,000** per agreement, may be purchased at the Department Head's discretion.
- 2) **Non-Construction Services over \$25,000 and up to \$80,000** per agreement, the department may solicit a minimum of two written quotes or other documentation. The City Manager must approve the purchase through the electronic purchase order process and it must be listed on the contracts list for the City Commission approval prior to services being rendered.
- 3) **Non-Construction services over \$80,000** per agreement have the City Commission approval by agenda item and. The City Manager may require that a published "Request for Proposals" or "Request for Qualifications" be made, with the "lowest most qualified and/or responsible vendor" selected.

Other Professional Services

Other Professional Services other than those defined in the Architectural, Engineering, and Surveying policy (maintained by Public Works) are exempt from bidding as identified in 7-5-4301 MCA.

Professional Services include planning, design, and consultation not implementation, installation or construction. Any project involving construction, remodeling, master planning, or rate study should receive an Office File number and a project number assigned by an [Intent to Create Form](#).

- 1) **Professional services totaling up to and including \$25,000** per agreement, may be purchased at the Department Head's discretion.
- 2) **Professional Services over \$25,000 and up to and including \$80,000** per agreement, the department may solicit a minimum of two written quotes or other documentation. The City Manager must approve the purchase through the electronic purchase order process and it must be listed on the contracts list for the City Commission approval prior to services being rendered.

- 3) **Professional services over \$80,000** per agreement and may require City Commission approval by agenda item. The City Manager may require that a published “Request for Proposals” and/or “Request for Qualifications” be made, with the “lowest most qualified and/or responsible vendor” selected.

Small Works Roster

The purpose of the Small Works Roster (Roster) policy is to make it simpler for departments to get small jobs and repairs completed using a list of preapproved vendors. The Risk Management Specialist will maintain the list of preapproved vendors for the City. The Roster will include vendors that have completed the Small Works Roster application, have met all of the requirements, and have been approved. The City reserves the right to select an appropriate vendor.

Approval of Purchases

At least two electronic approvals are required for the payment of any good or service purchased by the City. Electronic approval must be the Department Head, the Finance Director, and the City Manager, when required by this purchasing policy.

Emergency Purchasing Provisions

In the case of an emergency^{xix} or disaster^{xx} caused by fire, flood, explosion, storm, earthquake, riot, insurrection, or other similar emergency the City Commission may vote, with three-fourths of the members present, to suspend the purchasing rules for purchases related to the declared emergency.

Violations of this Policy

Violations of this policy will be investigated and appropriate disciplinary action may be taken in accordance with the Personnel Policy Manual, and any applicable collective bargaining agreements, and/or applicable federal, state, and local laws.

Definitions

Architectural, Engineering, and Land Surveying Services (A/E/S) – A specific policy for contracting architects, engineers, and surveyors maintained by the Public Works Department for the City.

Construction – To build something new or remodeled e.g. a building, an addition to a building, a room inside of an existing building, etc.

Cooperative Purchasing Agreements – A Commission approved and signed purchasing agreement with another entity in order to procure items at a lower prices.

Documentation – Material that provides official information that serves as a record. Materials can be but is not limited to quotes, a form for verbal quotes (should contain contact information, what is being quoted, price, etc.), item pricing from a catalog, item pricing from an internet site, e-mails, etc.

Intent to Create Form - Is used to have an Office File number and/or a Project Number created. The Office file number is the method the City uses to track documentation associated with a project and is assigned by the City Engineer. Project numbers are assigned to track expenditures and revenues of projects and are assigned by the Budget Analyst or the Finance Director in the Finance Department for projects other than Public Works projects all Public Works projects are assigned by the Engineering

Division. Any project involving construction, remodeling, master planning, or rate study should receive an Office File number. [Intent to Create Form Instructions](#)

Lowest Responsible Bidder – The City may take into consideration generally available information regarding the vendors or bidder’s skill, ability, integrity, conscientious work, and ability to promptly fulfill the contract according to its letter and spirit. (Considerations may include, but not limited to, qualifications, available staff, references, delivery date, inspection, testing, quality and workmanship, etc.)

Non-Construction Services – May include maintenance, custodial, security services, mail handling, etc.

Other Professional Services - Planning, design, and consultation requiring technical expertise or experience.

Professional Services - Defined as professional, technical, engineering, or legal services are exempt from bidding as identified in 7-5-4301 MCA.

Project Number - Are assigned to track expenditures and revenues of projects and are assigned by the Budget Analyst or the Finance Director in the Finance Department for projects other than Public Works projects all Public Works projects are assigned by the Engineering Division.

Repairs – To fix something that has broken, not construct a new item.

RFP – Request for proposal.

RFQ – Request for qualifications, which may include completing the Standard Government Form (SF) 330.

Sole Source - Purchases bids or quotes are not required where it is in the best interest of the City to maintain a compatible and/or reliable system provided by a single vendor or professional. The sole source form must be provided to the Finance Department for approval prior to purchase.

ⁱ Section 7-5-4109, Montana Code Annotated (MCA) and Title 2.21.030 in the Official Code of the City of Great Falls (OCCGF)

ⁱⁱ Sec 2.21.050 OCCGF

ⁱⁱⁱ Sec 13 of the City of Great Falls Policy Manual

^{iv} Administrative Order 3-06

^v Title 2 OCCGF and Sec 2-2, MCA

^{vi} City of Great Falls Travel Policy

^{vii} Information Technology Purchasing Policy

^{viii} Sec 18-2-402, MCA

^{ix} The Davis Bacon Act

^x Sec 7-5-4305, MCA

^{xi} Sec 7-5-4302, MCA

^{xii} Sec 7-5-4307, MCA and Title 3.04 OCCGF

^{xiii} Sec 18-4-402, MCA

^{xiv} Sec 18-4-306, MCA

^{xv} Sec 7-5-4301-(2)-(a), MCA

^{xvi} Sec 7-5-4302, MCA

^{xvii} Sec 18-4-306, MCA

^{xviii} Sec 7-5-4302, MCA and 18-8-212 (2), MCA

^{xix} Sec 7-5-4303, MCA

^{xx} Sec 10-3-401, MCA

City of Great Falls Credit Card Policy

Credit Card Policy

This policy provides an overview of the credit card program as well as the range of related procedures and forms associated with the program. The purpose of the credit card program is to establish a more efficient, cost-effective method of purchasing. The program has been designed as an alternative to the traditional purchasing process for supplies, materials, and travel. The credit card can be used with any supplier that accepts the designated bank card as a form of payment. It should be noted, however, that users shall conform to City of Great Falls purchasing policy as well as state purchasing laws when using the credit card program. All credit cards applications will be approved by the Finance Department Director. The Finance Department will monitor activity on all credit card transactions.

1. Departments requesting a new credit card or changes to an existing credit card must be made in writing to the Finance Department Director and must include the following information:
 - a. Reason for the card
 - b. Dollar limit of the credit card
2. If cardholder experiences denials when using the City credit card. The employee should notify the Director of Finance as soon as possible so the denial can be investigated.
3. The Finance Department will maintain a list of available credit cards for all departments which will include the credit limit and expiration date of each card.
4. Credit cards may be removed from department's possession at the discretion of the Department Head or Director of Finance.
5. When a credit card is checked out from the department or the credit card information is given a check-out/check-in procedure is necessary. The check-in/check-out form, provided by the Finance Department, must include the following information:
 - a. Date and time of removal
 - b. Name of person card checked out to
 - c. Approved by
 - d. Purpose of use
 - e. Receipts returned with credit card
 - f. Date and time of return
 - g. Checked in by
6. Any employee checking out the credit card will need to read and sign the City Credit Card Procedures Employee Acknowledgment form provided by Finance Department.
7. Documentation detailing the purchase with the City credit card is required for all transactions. Adequate documentation may consist of, but is not limited to original detailed receipts, credit slips, etc. At no time shall the City approve payment of credit card invoices without adequate documentation.
8. City credit cards shall not be used for purchase of personal purchases, cash advances, or other category exclusions (alcohol, tobacco, entertainment, cash refunds for returned purchases, etc.)

9. Any employee of the City of Great Falls who violates the provisions of the credit card policy shall be subject to disciplinary action, up to and including discharge and/or civil and/or criminal action. The Disciplinary Policy is located in the Personnel Policy Manual.
10. Employees to whom credit cards are issued for City purchases shall be responsible for the protection and custody of the credit card; if the card is lost or stolen the employee will immediately notify the issuer of the credit card, Department Head, and the Finance Department Director. Employees shall not knowingly post or otherwise make publicly available credit card data that could potentially result in fraudulent charges.
11. Employees to whom credit cards are issued for City purchases shall immediately surrender the card upon termination of employment or layoff from active work status.
12. All benefits derived from use of credit cards are property of the City of Great Falls.
13. The credit card shall not impact the employee's personal credit references. The City issued credit card is a City liability, not a personal liability card.
14. No credit cards of any type shall be applied for, or accepted, without the written consent of the Finance Department Director.
15. City credit cards will be reconciled monthly
 - a. Each time a purchase is made the receipts or other documentation will be given to the proper personnel in the department to process and enter into Accounts Payable for payment.
 - b. When the monthly statement is received each department will verify all charges have been submitted for payment.
 - c. The balance due on any credit card account shall be paid in full by the due date listed on the statement but in no case no later than sixty days from the original statement date. All finance and late charges will be charged to the department that acquires them. Consistent late finance and late charges may be grounds for cancellation of department credit card.
 - d. All credit card statements will be sent to Accounts Payable in the Finance Department, the statement will be sent to the individual department, each department will reconcile the statement, and process any needed payments.

CITY OF GREAT FALLS
CREDIT CARD USE PROCEDURES
EMPLOYEE ACKNOWLEDGMENT

The purpose of the credit card program is to establish a more efficient, cost-effective method of purchasing. The program has been designed as an alternative to the traditional purchasing process for supplies, materials, and travel. The credit card can be used with any supplier that accepts the designated bank card as a form of payment. It should be noted, however, that users shall conform to the City of Great Falls (City) purchasing policy as well as state purchasing laws when using the credit card program. All credit cards applications will be approved by the Finance Department Director. The Finance Department will monitor activity on all credit card transactions.

The City's US Bank credit card represents our trust in you. You are empowered as a responsible agent to safeguard City assets. Your signature below is verification you have read this policy and agree to comply with it. It also acknowledges that you have checked out the card listed below:

1. I understand the card is for City approved purchases only and I agree not to charge personal purchases or other category exclusions (alcohol, tobacco, entertainment, cash refunds for returned purchases, etc.)
2. If the card is lost or stolen, I will immediately notify the issuer of the credit card and the Finance Department Director.
3. I agree to shall immediately surrender the card upon termination of employment or layoff from active work status.
4. Any employee of the City of Great Falls who violates the provisions of the credit card policy shall be subject to disciplinary action, up to and including discharge and/or civil and/or criminal action. The Disciplinary Policy is section 15 of the Personnel Policy Manual.

Employee Signature

Approving Administrator Signature

Employee Printed Name

Date

Approving Administrator Printed Name

Date

City of Great Falls Credit Card Check out

Last four numbers of Credit Card: _____

Assigned to: _____

Date/ Time Checked Out	Person Checking Out Card	Approved By	Purpose (Vendor name for purchases or destination for travel)	Receipts turned in with card	Date/ Time Checked In	Checked in By
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		
				YES NO		

By Completing and signing this form I agree to follow the City of Great Falls Credit card Policy.

City of Great Falls

Travel Policy

Introduction

It is the policy of The City of Great Falls (City) to reimburse staff for reasonable and necessary expenses incurred during travel for City business. The City requires all out-of-state and foreign travel to have authorization from the City Manager's Office prior to incurring any expense or travel; in-state travel requires department head approval. All expenses must be reasonable, necessary, and have a valid business purpose. Transportation to entertainment is not a reimbursable expense. When traveling by car, all traffic laws must be followed. Should a rental car be necessary during travel, pre-authorization is required by the City Manager's office. Police travel for undercover work and/or transportation of suspects or victims is covered by separate police policy.

It is expected that the staff member will use good judgment when making travel arrangements and inquire if the destination will waive taxes for tax-exempt entities.

Personal Conduct

While traveling on City business, staff is expected to act as a representative of the City. The standards of conduct, as detailed in the City Personnel Policy Manual, apply to all staff traveling on City business. Should an incident occur involving a City employee while traveling on City business notify your supervisor at your first opportunity.

Purchasing

A City credit card must be used to purchase as much of the travel expenses as possible including airline tickets and registrations for City related travel rather than the staff member purchasing these items and then being reimbursed.

Travel Requisition Form

The City has two travel requisition forms - one for out-of-state travel and one for in-state travel. The correct form must be completed as early as possible to provide time for discounts on travel, approval, and a travel advance. Complete the appropriate form for preapproval with the estimated travel expense and as much back-up documentation that is available, i.e., copy of registration form, estimate of hotel expenses, per diem, and air or ground travel.

Airline Travel

All City staff are advised to use economy, coach, or other comparably priced fares. Staff should select flights based on the lowest fare available and never solely on direct flights or participation in a frequent flyer program. Staff is encouraged to make flight arrangements as early as possible and price check in order to keep costs to a minimum.

The City will pay for one checked bag that is personal and not over weight.

Personal Car Travel

The City will reimburse a staff member for mileage when a personal vehicle is used. The mileage rate is the allotment allowed by the United States Internal Revenue Service. This reimbursement covers all

vehicle related expenses such as gas, oil, maintenance, insurance, etc. other than parking. Mileage for travel will be calculated by using the distance from the City of Great Falls to the destination and back by using www.mapquest.com. Parking receipts may also be submitted for reimbursement. Any employee who chooses to drive a personal vehicle should be aware the City does not provide coverage for loss or damage to personal vehicles. It is strongly suggested that City vehicles be used for all City related travel. When two or more City staff members travel together, only the staff member whose vehicle is being used will be reimbursed for mileage. When more than one staff member is traveling to the same location, carpooling is the best option.

Staff members that receive a monthly car allowance will only be reimbursed when travel is more than 10 miles outside the city limits.

If an employee chooses to use a personal vehicle over a common carrier, mileage reimbursement shall not exceed the cost of airfare.

Rental Car

A rental car is a justifiable expense if it is cheaper than other forms of transportation; anyone requesting use of a rental car must demonstrate that it is the least cost alternative. Preapproval of a rental car must come from the City Manager’s office prior to travel.

Meals

Meal reimbursements have set rates for travel depending on whether the travel is out-of-state or in-state. Out-of-state travel is based on the General Services Administration (GSA) rates found at <https://www.gsa.gov/travel/plan-book/per-diem-rates> or contact the Finance Department for current rates. In-state travel per diem will be reimbursed \$40 per day \$10 for breakfast, \$10 for lunch, and \$20 for dinner. The per diem rates include all tips.

The meal out-of-state allowances are a daily limit or allowance rather than a limit per meal, including any tips. In-state travel is based on a per meal or daily basis depending on the length of travel. Employees departing after 7:00 am and returning before 6:00 pm qualify for the lunch allowance only. Employees departing after 7:00 am and returning after 6:00 pm qualify for both the lunch and dinner allowances. Employees departing before 7:00 am and returning after 6:00 pm qualify for the breakfast, lunch, and dinner allowances.

Departing	Returning	Meal allowed	Per Diem
Before 7:00 am	Before 6:00 pm	Breakfast and Lunch	\$20
After 7:00 am	Before 6:00 pm	Lunch	\$10
After 7:00 am	After 6:00 pm	Lunch and Dinner	\$30
Before 7:00 am	After 6:00 pm	Breakfast, Lunch, and Dinner	\$40

Lodging

Staff should select reasonably located and priced lodging, considering the business purpose. The government rate should be requested when the reservation is made. Staff are responsible for room

deposits and lodging payments. By completing the travel form at least ten days in advance, the cost of the hotel, out of pocket transportation and meal expenses will be given to the employee, prior to travel, to cover these expenses.

Unallowable Expenses

Alcoholic beverages and expenditures of a personal nature are not allowable. Examples include but are not limited to:

- Room service.
- Mini bar and amenity charges.
- Porter service for personal luggage.
- Transportation expense for dining out (unless hotel/motel does not have dining facilities or there are none within walking distance.) □ Optional valet parking.
- Parking tickets or other traffic tickets.
- Fees at a conference or meeting for social events or the entertainment of a spouse or guest.
- Other expenditures, otherwise allowable, may be rejected without proper travel authorization.

Receipts

While traveling for City business the staff member must retain and submit original receipts for all expenses. The exceptions to that is if the City employee is using per diem for meals or pays a parking meter, where a receipt is not produced. Should a receipt become lost, the staff member should try to get a copy of the receipt(s) from the vendor. If the receipt cannot be recreated, the staff member may list the expense on the travel form when they return with an explanation of the expense and noting the receipt was lost and unable to be recovered. The City honors all reasonable travel claims.

Receipts are required to have the following information:

Lodging: Detailed lodging bill includes room, fees, and taxes.

Registration: Receipt, copy of registration form, and other applicable documentation.

Transportation: Receipt taxi, bus, shuttle, rental car, airline, rail ticket, etc. tips are not to exceed 20%.

Parking: Receipt needed unless paying a parking meter where a receipt is not printed.

Telephone: Receipt needed for City related calls.

Other: Detailed receipts for City related business expenses for example copies, faxes, etc.

Coordinated Personal Travel

There are benefits associated with coordinating business travel with personal travel, especially when it results in cost savings for the City. Extending a personal trip into a business trip, or taking personal time after completing the business portion of a trip often results in lower travel costs for the City.

Coordinating personal travel must follow the City Personnel Policy Leave Policy and the supervisor must approve leave. Transportation costs and per diem will be allowed only for the most direct route to the destination for the City business trip. Reimbursement and payment for meals and lodging will be allowed only during the time the employee is in City travel status.

Other

All travel reconciliations must be submitted within five days of returning to work. If the claim is more than the travel advance the employee will be issued a check. If the claim is less than the advance the employee will reimburse the City for the difference at the time the reconciliation is submitted.

Trip reports may be requested by Department Head or City Manager and should be submitted within five days of the request.

CITY OF GREAT FALLS TRAVEL VOUCHER
**** PLEASE READ BEFORE TRAVELING ****

FORM COMPLETION:

Each travel voucher must be as complete as possible before advances/reimbursements will be made. The correct account numbers must be provided.

TRAVEL VOUCHERS MUST BE RETURNED TO FISCAL SERVICES WITHIN 5 DAYS AFTER RETURN.

REIMBURSABLE EXPENSES:

Employees need authorization (requisition/purchase order, etc.) prior to incurring an expense on behalf of the City. To be reimbursed for all authorized expenses, employees submit an expense report/voucher accompanied by receipts. A supervisor must approve the expense report/voucher prior to submittal. Generally, claims will not be paid without proper documentation.

Receipts must support reimbursement claims. Support can include receipts for individual meals (if the base allowance is exceeded), transportation (plane, train, rental car, etc.), lodging, enrollment and registration, and miscellaneous business expenses.

There are occasions when receipts are not required. These include instances when individual meal claims fall within the base allowance, personal transportation claims fall within the rate per mile, and for costs associated with incidental miscellaneous expenses where receipts are not normally available (pay phones, taxis, parking, etc.).

Employees who have lost a receipt but know the amount or approximate amount of an expense may submit their claim as usual and note the receipt loss in a brief, written explanation. The City honors all reasonable travel claims.

The meal allowance is not a daily allowance or limit; it is an allowance or limit per meal, including any tip. Employees departing after 7:00 a.m. and returning before 7:00 p.m. qualify for the lunch allowance only. Employees departing after 7:00 a.m. and returning after 7:00 p.m. qualify for both the lunch and dinner allowances. Employees departing before 7:00 a.m. and returning after 7:00 p.m. qualify for the breakfast, lunch and dinner allowances.

If a meal is not associated with a business meeting, or if a meal exceeds the standard meal allowance, the meal may qualify under special meal circumstances. The City understands that some locations are, by their nature, more expensive. Employees in locations such as these may exceed individual meal allowances. Any extra costs may be claimed. Employees should attach a receipt and a brief, written explanation to their claim form for each meal. The request for additional meal expense coverage will be subject to the claim approval process.

Public transportation for City purposes shall be limited to coach rates, unless special circumstances exist and are documented.

Employees should try to reduce overall business travel costs. The timing of travel can result in savings associated with taking advantage of special rates. Accordingly, the City may prefer to pay additional lodging, meals, etc. if the result is a net savings.

Lodging:	Receipts, DETAILED lodging bills, includes room and tax only.
Meals:	Receipt if meal exceeds standard meal allowance with written explanation of excess.
Tips:	Actual expense to a maximum of 15% per eligible meal receipt.
Registration:	Receipt, copy of registration form, and other applicable documentation.
Transportation:	Receipts for taxi, bus, airport limousine, and other. Copy of ticket for air or rail, coach and tourist only.
Parking:	Receipt needed.
Personal Vehicle:	Current Internal Revenue Service mileage allowance.
Telephone:	City related
Other:	Receipts for city related expenses for copies, faxes, car rental and other expenses.

If you have any questions or concerns regarding travel vouchers, please call Fiscal Services 455-8424 or 455-8425

**City of Great Falls In-State
Travel Advance/Reimbursement Request Form**

Employee: _____	Date: _____
Destination: _____	Department: _____
Travel Reason (be specific): _____	
Departure Date & Time: _____	Return Date & Time: _____
Other Employees Attending This Function: _____	
Account Number: _____ - _____ - _____ - _____	Project Number: _____ %/Amount: _____
Account Number: _____ - _____ - _____ - _____	Project Number: _____ %/Amount: _____
Account Number: _____ - _____ - _____ - _____	Project Number: _____ %/Amount: _____
Transportation Used: Air _____ Car Rental _____ Personal Vehicle _____ City Vehicle _____	

Travel Advance Estimate of Expenses	PR # & Amount for Direct Payments to Vendors:	Reconciliation/Reimbursement	
		* Receipts Required	Actual Expenses
Motel Nights _____ Rate _____	_____	Motel * Nights _____ Rate _____	
Car Rental	_____	Car Rental *	
Airfare	_____	Airfare *	
Registration Fees	_____	Registration Fees *	
Miscellaneous (Be specific): _____	_____	Miscellaneous * (Be specific): _____	
Mileage Miles _____ Rate 0.580	_____	Mileage Miles _____ Rate 0.575	
Meals # of Breakfasts @ \$10.00 _____ # of Lunches @ \$10.00 _____ # of Dinners @ \$20.00 _____	_____	Meals # of Breakfasts @ \$10.00 _____ # of Lunches @ \$10.00 _____ # of Dinners @ \$20.00 _____	
Total Advance Requested -	Total Direct Paid -	Total Actual Costs	-

Employee Initials _____	Date _____
Department Head Initials _____	Date _____
Finance Director Initials _____	Date _____

Fiscal Services Department Use Only:		
Reconciled by _____	Amount Advanced to Employee _____ -	Advance Check No. _____
Total cost of trip _____ -	Total Itemized Travel Expenses _____ -	Advance Check Date _____
	Amount Due to Employee _____	Due Employee Check No. _____
2018	Amount Due to City _____ -	Due Employee Check Date _____

CITY OF GREAT FALLS TRAVEL VOUCHER
**** PLEASE READ BEFORE TRAVELING ****

PRIOR APPROVAL

ALL out of state travel MUST be approved by the City Manager's Office PRIOR to incurring any expenses or travel.

FORM COMPLETION:

Each travel voucher must be as complete as possible before advances/reimbursements will be made. The correct account numbers must be provided.

TRAVEL VOUCHERS MUST BE RETURNED TO FISCAL SERVICES WITHIN 5 DAYS AFTER RETURN.

REIMBURSABLE EXPENSES:

Employees need authorization (requisition/purchase order, etc.) prior to incurring an expense on behalf of the City. To be reimbursed for all authorized expenses, employees submit an expense report/voucher accompanied by receipts. A supervisor must approve the expense report/voucher prior to submittal. Generally, claims will not be paid without proper documentation.

The policy for the City of Great Falls is the City will pay for one checked bag that is personal and not overweight. Anything over that must be covered by the employee.

Receipts must support reimbursement claims. Support can include receipts for transportation (plane, train, rental car, etc.),

There are occasions when receipts are not required. These include instances when personal transportation claims fall within the rate per mile, and for costs associated with incidental miscellaneous expenses where receipts are not normally available (pay phones, taxis, parking, etc.).

Employees who have lost a receipt but know the amount or approximate amount of an expense may submit their claim as usual and note the receipt loss in a brief, written explanation. The City honors all reasonable travel claims.

The meal allowance is a daily allowance or limit; and is based on the per diem rates provided by the General Services Administration (GSA) rates can be found at <https://www.gsa.gov/travel/plan-book/per-diem-rates> or contact the Finance Department for current rates.

Public transportation for City purposes shall be limited to coach rates, unless special circumstances exist and are documented.

Employees should try to reduce overall business travel costs. The timing of travel can result in savings associated with taking advantage of special rates. Accordingly, the City may prefer to pay additional lodging, meals, etc. if the result is a net savings.

- Lodging: Receipts, DETAILED lodging bills, includes room and tax only.
- Registration: Receipt, copy of registration form, and other applicable documentation.
- Transportation: Receipts for taxi, bus, airport limousine, and other. Copy of ticket for air or rail, coach and tourist only.
- Parking: Receipt needed.
- Personal Vehicle: Current Internal Revenue Service mileage allowance.
- Telephone: City related
- Other: Receipts for city related expenses for copies, faxes, car rental and other expenses.

If you have any questions or concerns regarding travel vouchers, please call Fiscal Services at extension 481.

**City of Great Falls Out-of-State
Travel Advance/Reimbursement Request Form**

Employee: _____	Date: _____
Destination: _____	Department: _____
Travel Reason (be specific): _____	
Departure Date & Time: _____	Return Date & Time: _____
Other Employees Attending This Function: _____	
Account Number: _____ - _____ - _____ - _____	Project Number: _____ %/Amount: _____
Account Number: _____ - _____ - _____ - _____	Project Number: _____ %/Amount: _____
Account Number: _____ - _____ - _____ - _____	Project Number: _____ %/Amount: _____
Transportation Used: Air _____ Car Rental _____	Personal Vehicle _____ City Vehicle _____

Travel Advance Estimate of Expenses	PR # & Amount for Direct Payments to Vendors:	Reconciliation/Reimbursement	
		* Receipts Required	Actual Expenses
Motel Nights _____ Rate _____	-	Motel * Nights _____ Rate _____	
Car Rental		Car Rental *	
Airfare		Airfare *	
Registration Fees		Registration Fees *	
Miscellaneous (Be specific): _____		Miscellaneous * (Be specific): _____	
Mileage Miles _____ Rate <u>0.580</u>		Mileage Miles _____ Rate <u>0.575</u>	
Meals Daily Per Diem Rate varies by location of travel https://www.gsa.gov/travel/ plan-book/per-diem-rates		Meals Daily Per Diem Rate varies by location of travel <a href="https://www.gsa.gov/travel/p
lan-book/per-diem-rates">https://www.gsa.gov/travel/p lan-book/per-diem-rates	
Total Advance Requested _____ -	Total Direct Paid _____ -	Total Actual Costs _____ -	

Employee Initials _____	Date _____
Department Head Initials _____	Date _____
Fiscal Services Director Initials _____	Date _____
City Manager's Office Approval _____	Date _____

Fiscal Services Department Use Only:		
Reconciled by _____	Amount Advanced to Employee _____ -	Advance Check No. _____
Total cost of trip _____ -	Total Itemized Travel Expenses _____ -	Advance Check Date _____
	Amount Due to Employee _____	Due Employee Check No. _____
August 2018	Amount Due to City _____ -	Due Employee Check Date _____

CITY OF GREAT FALLS

QUOTES

Purchases up to and including \$25,000 may be purchased at the Department Head's discretion, two written quotes, oral quotes, or other supporting documentation is recommended. Departments must identify all information for the items/services being requested. This information may be read over the phone to each vendor or provided in written form.

Department/Division: _____ Date: _____

Individual Obtaining Quotes: _____

Supply/Service Description: _____

VENDOR NAME			
CONTACT PERSON OR SOURCE			
PHONE #			
PRICE QUOTED			

PREFERRED VENDOR: _____

I certify that the information provided above is, to the best of my knowledge, true and correct.

Individual Obtaining Quotes: _____
Signature Date

Approval: Department Head: _____

Tracking # _____

CITY OF GREAT FALLS
REQUEST FOR SOLE SOURCE

DATE: _____ DEPARTMENT: _____

REQUESTOR: _____ PHONE NUMBER: _____

BUSINESS NAME: _____

CONTACT: _____ PHONE NUMBER: _____

EMAIL ADDRESS: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

SOLE SOURCE REQUEST PURPOSE:

SOLE SOURCE JUSTIFICATION:

Special Cases for Sole Source Purchases:

Bids or quotes are not required where it is in the best interest of the City to maintain a compatible and/or reliable system provided by a single vendor or professional. The sole source form must be provided to the Finance Department for approval prior to purchase.

a. These requirements for purchases of supplies/equipment and services over \$80,000 may be waived by the City Manager. Approval must be documented and obtained PRIOR to purchase.

b. The above applies where:

i. There is only one source for the supply or service of the item (i.e. a vendor's warranty service, exclusive vendor required maintenance agreements), or

ii. Only one source is acceptable or suitable for the supply or service item, or

iii. The supply or service must be compatible with current supplies or services, or

iv. A collective bargaining agreement or other contract requires the utilization or employment of a specific good or professional.

c. Where state and local law require a good or service to be provided by a specific entity (Election Administration, Detention Center Fees, etc.), quotes are not required.

SIGNATURE

PRINT NAME

TITLE

DATE

CITY OF GREAT FALLS

NEW OR DISPOSED OF MACHINERY AND EQUIPMENT FORM

This form should be completed whenever a vehicle, trailer, or equipment valued at \$5,000 or more is acquired or disposed. Please complete form with as much information as possible and send to the Finance Department.

Asset Information

New Asset Disposal Asset Number _____

Item: _____

Original Funding Source: _____

Acquisition Date: _____

Original Purchase Price: _____

Manufacturer: _____

Model: _____

Model Year: _____

Serial Number: _____

Disposal Date: _____

Reason for Disposal: _____

Sale Price or Trade In Value: _____

City of Great Falls Annual Small Works Policy

Introduction

The purpose of the Small Works Roster (Roster) policy is to make it simpler for departments to get small jobs and repairs, up to \$25,000, completed using a list of preapproved vendors. The Risk Management Specialist will maintain the list of preapproved vendors for the City. The Roster will include vendors that have completed the Small Works Roster application, have met all of the requirements, and have been approved. The City reserves the right to select an appropriate vendor for the repair or project

Roster Registration

The City will run an annual legal advertisement inviting vendors to register or renew their status on the Roster, which will provide the process to apply.

Vendors that would like to be on the Roster must provide the following:

- Complete application;
- Insurance, naming the City as additionally insured;
- Proof of worker's compensation coverage and/or independent contractor exemption certificate;
- Proof of all applicable and required contractor, business and state licenses;
- List of three references, minimum of three;
- List of similar projects completed within the last two years
- Current W9.

To remain current on the Roster, vendors will need to annually:

- Complete annual renewal application
- Submit the certificate of insurance to the City's Risk Management Specialist on a yearly basis prior the expiration of the current certificate;
- Keep all contact information up to date;
- Comply with all Federal, State, and Local laws; and
- Current W9

By registering, the City does not notify vendors of opportunities. To keep up with City bids, RFPs, and/or Small Works Projects, sign up for notifications on the City's website: <https://greatfallsmt.net/rss>. Click on the Bids and RFPs feed and enter e-mail contact information.

CITY OF GREAT FALLS

SMALL WORKS ROSTER APPLICATION

NEW APPLICATION

RENEWAL

BUSINESS NAME: _____

CONTACT: _____ PHONE NUMBER: _____

EMAIL ADDRESS: _____ FAX NUMBER: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

FEDERAL TAX ID NUMBER: _____

MT CONTRACTOR LICENSE NUMBER: _____

CONTRACTOR FILING STATUS:

Sole Proprietor

Limited Liability Company

Corporation

Partnership

Other: _____

INSURANCE COMPANY: _____

POLICY NUMBER: _____ PHONE NUMBER: _____

CONTACT: _____

Check all areas that are applicable to your expertise:

_____ Acoustical Tile

_____ Audio/Visual

_____ Boilers

_____ Carpet/Flooring

_____ Chemicals

_____ Concrete

_____ Drywall

_____ Electrical

_____ Excavation

_____ Fencing

_____ Fire Equipment

_____ Fire Sprinkler Systems

_____ General Contracting

_____ Hazardous Waste Removal

_____ HVAC/Mechanical

_____ Insulation

_____ Irrigation/Landscaping

_____ Lumber and Supplies

_____ Overhead Doors

_____ Painting

_____ Paving/Seal Coating & Striping

_____ Pest Control

_____ Plumbing

_____ Recreation Equipment

_____ Roofing

_____ Sprinkler Systems

_____ Telecommunications

_____ Tree/Stump Removal

_____ Vehicle Supplies

_____ Water Testing

_____ Window Cleaning

_____ Other: _____

The purpose of the Small Works Roster (Roster) policy is to make it simpler for departments to get small jobs and repairs completed using a list of preapproved businesses. The list of preapproved vendors will be maintained by the _____ for the City of Great Falls (City.) The Roster will include vendors that have completed the Small Works Roster application, have met all of the requirements, and have been approved. The City has created a Roster for several categories of work. The Roster has been created to reduce the time it takes departments to get repairs or minor projects completed and reduce operating costs by having prequalified vendors who can be contracted immediately. The City reserves the right to select an appropriate vendor for the repair or project.

Items to be included with application:

Vendors that would like to be on the small works roster must be able to provide the following:

- Insurance, naming the City as additionally insured;
- Proof of workers' compensation coverage or independent contractor exemption certificate;
- Proof of all applicable and required contractor, business and state licenses;
- List of references, minimum of three;
- List of similar projects completed within the last two years.

The vendors will need to submit the certificate of insurance to _____ on a yearly basis prior the expiration of the current certificate. Vendors are also responsible for keeping all contact information up to date. Registering does not notify vendors of opportunities.

SIGNATURE

PRINT NAME

TITLE

DATE

Intent to Create Form Instructions

The Intent to Create form is used to have an Office File number and/or a Project Number created. The Office file number is the method the City uses to track documentation associated with a project and is assigned by the City Engineer. Project numbers are assigned to track expenditures and revenues of projects and are assigned by the Budget Analyst or the Finance Director in the Finance Department. Any project involving construction, remodeling, master planning, or rate study should receive an Office File number.

Steps

To create an Intent to Create Form:

1. Go to Shared Documents/All/Intent to Create on the shared drive. <O:\All\Intent to Create>
2. Open the excel file, 1 – Template Intent to Create Form Dec 2018.
3. Click on File, Save as, save document in the same folder, and name the file (the first 2-3 words of the project name.) Complete as much information as possible including project details and funding information.
4. E-mail cogf_intent_review@greatfallsmt.net, that an intent to create form is ready for review. In the subject line of the e-mail it should say Intent to Create and project name. **Do not attach document.**
 - a. Engineering will review the project information, assign an Office File number, and reply to the e-mail that information has been populated into the form.
 - b. Finance will review accounting information, assign a project number, and reply to the e-mail that information has been populated into the form.
5. Originator will contact Division Head and Department Head to have them digitally initial the form.
6. Originator will fill in completed date at the bottom of the form when all needed information and sign offs have been completed.
7. The originator will e-mail the distribution list cogf.intent@greatfallsmt.net that Intent to Create Form has been complete for _____ project.
 - a. The distribution list includes
 - i. City Clerk and Assistant City Clerk – who will create the Office File record
 - ii. Finance Director
 - iii. Budget Analyst – who will make budget adjustment
 - iv. Public Works Director
 - v. City Engineer
 - vi. Engineering Admin

**CITY OF GREAT FALLS
INTENT TO CREATE PROJECT**

COMPLETED BY ORIGINATOR

PROJECT TITLE _____
 TYPE OF PROJECT _____
 REASON FOR PROJECT _____
 PROJECT LOCATION _____
 PROJECT MANAGER _____
 PROJECT START/FINISH DATE _____

PROJECT FUNDING

FUNDING SOURCES (PLEASE INPUT NEGATIVE VALUES)

ACCOUNT NUMBER	ACCOUNT DESCRIPTION	ADJUSTMENT AMOUNT
TOTAL		\$0

FUNDING ALLOCATIONS

ACCOUNT NUMBER	ACCOUNT DESCRIPTION	ADJUSTMENT AMOUNT	PRIOR FUNDING	ENDING BALANCE
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
TOTAL		\$0	\$0	\$0

CONTACT FINANCE FOR PROJECT # _____ PROJECT NUMBER _____

COMPLETED BY ENGINEERING _____ OFFICE FILE NUMBER _____ RELATED _____

ROUTING FOR DIGITAL INITIAL

1. ORIGINATOR _____
 2. DIVISION HEAD _____
 3. DEPARTMENT HEAD _____

\$0	TOTAL FUNDING SOURCES
\$0	TOTAL FUNDING ALLOCATIONS
\$0	DIFFERENCE

DATE COMPLETED _____

- CC:
 CITY CLERK
 FINANCE DIRECTOR
 BUDGET ANALYST
 PUBLIC WORKS DIRECTOR
 CITY ENGINEER
 ENGINEERING ADMIN

Contract and Bidding Matrix

		<i>Dept. Head Approval</i>	<i>City Manager Approval</i>	<i>2 Verbal or Written Quotes Recommended</i>	<i>Solicit a min. of 2 Written Quotes or approved Cooperative Purchasing Agreement</i>	<i>Formal Bid or Cooperative Purchasing Agreements</i>	<i>Contracts List</i>	<i>Agenda Item</i>	<i>Review for State Prevailing Wage Rates</i>	<i>Insurance</i>	<i>50% bona fide MT Residents</i>	<i>State 1% Withholding over \$5,000</i>	<i>Performance Bond</i>	<i>Payment Bond</i>	<i>Bid Bond</i>	<i>Federal Prevail. Wage Rates apply on projects over \$2,000 with Federal Funding*</i>	<i>Cert. of Non segregated Facilities and Non-conclusion*</i>
Supplies and Equipment	\$0.00 to \$25,000	X		X													
	\$25,001 to \$80,000	X	X		X												
	> \$80,000	X	X			X		X						X			
Repairs***	\$0.00 to \$25,000	X		X					X								
	\$25,001 to \$80,000	X	X		X		X	X	X			X	X				
	> \$80,000	X	X			X	X	X	X			X	X	X			
Architectural, Engineering, and Land	\$0.00 to \$25,000	X							X								
	\$25,001 to \$80,000	X	X				X		X								
	> \$80,000	X	X				X		X								
Construction	\$0.00 to \$25,000	X		X					X	X	X					X	X
	\$25,001 to \$80,000	X	X		X		X	X	X	X	X	X	X			X	X
	> \$80,000	X	X			X	X	X	X	X	X	X	X	X		X	X
Non-Construction Services **	\$0.00 to \$25,000	X		X					X							X	X
	\$25,001 to \$80,000	X	X		X		X	X	X			X	X			X	X
	> \$80,000	X	X			X	X	X	X			X	X	X		X	X
Other Professional Services *****	\$0.00 to \$25,000	X							X								
	\$25,001 to \$80,000	X	X				X		X								
	> \$80,000	X	X				X		X								

Notes: Quotation Requirements for Purchases up to \$25,000 will be set by the Department

Certain Funding Sources May Require Certified American Steel e.g. DNRC grants

See contract templates on City intranet for insurance requirement amounts

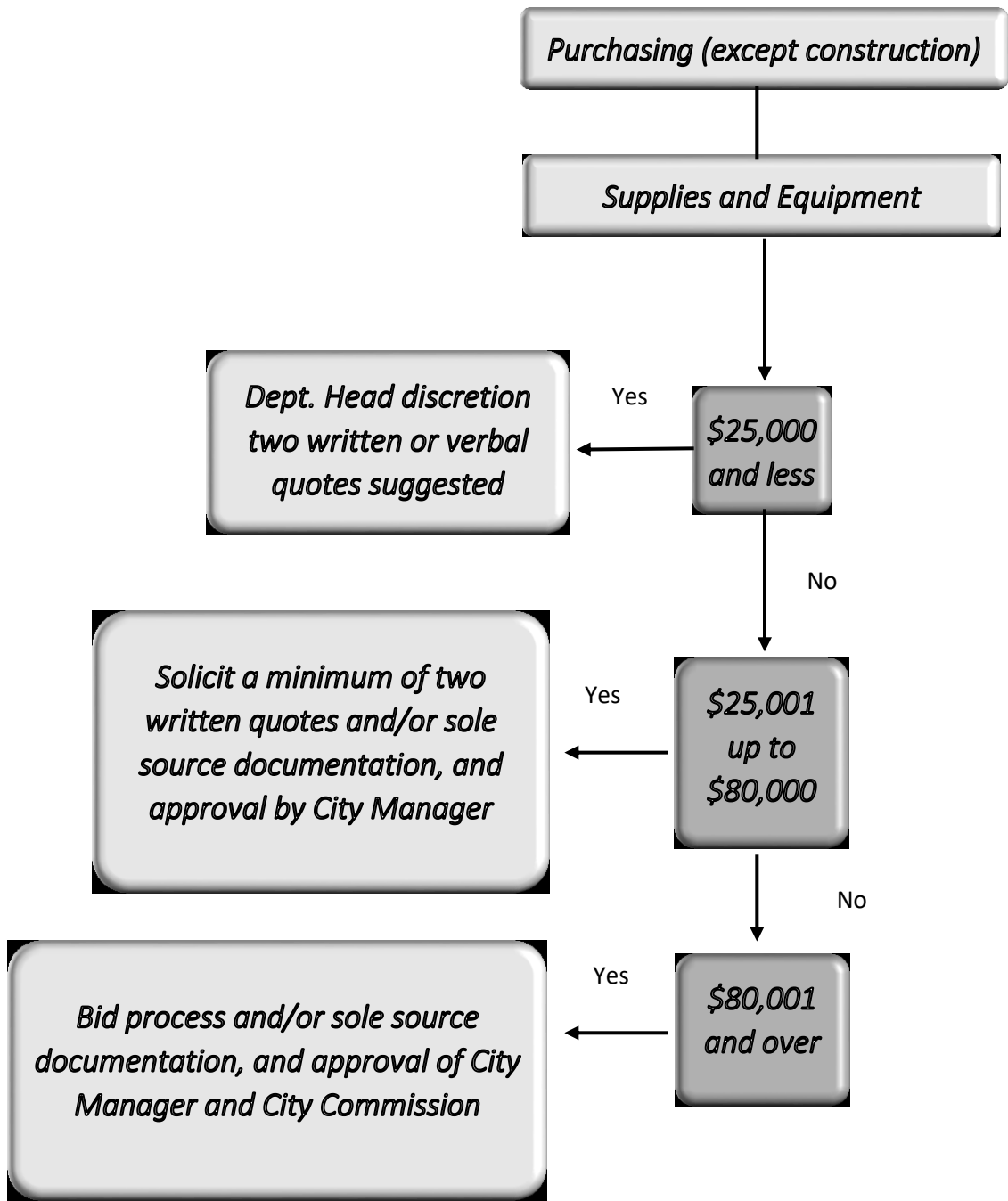
*Applies to Federally funded projects; each federally funded project must be reviewed individually for compliance

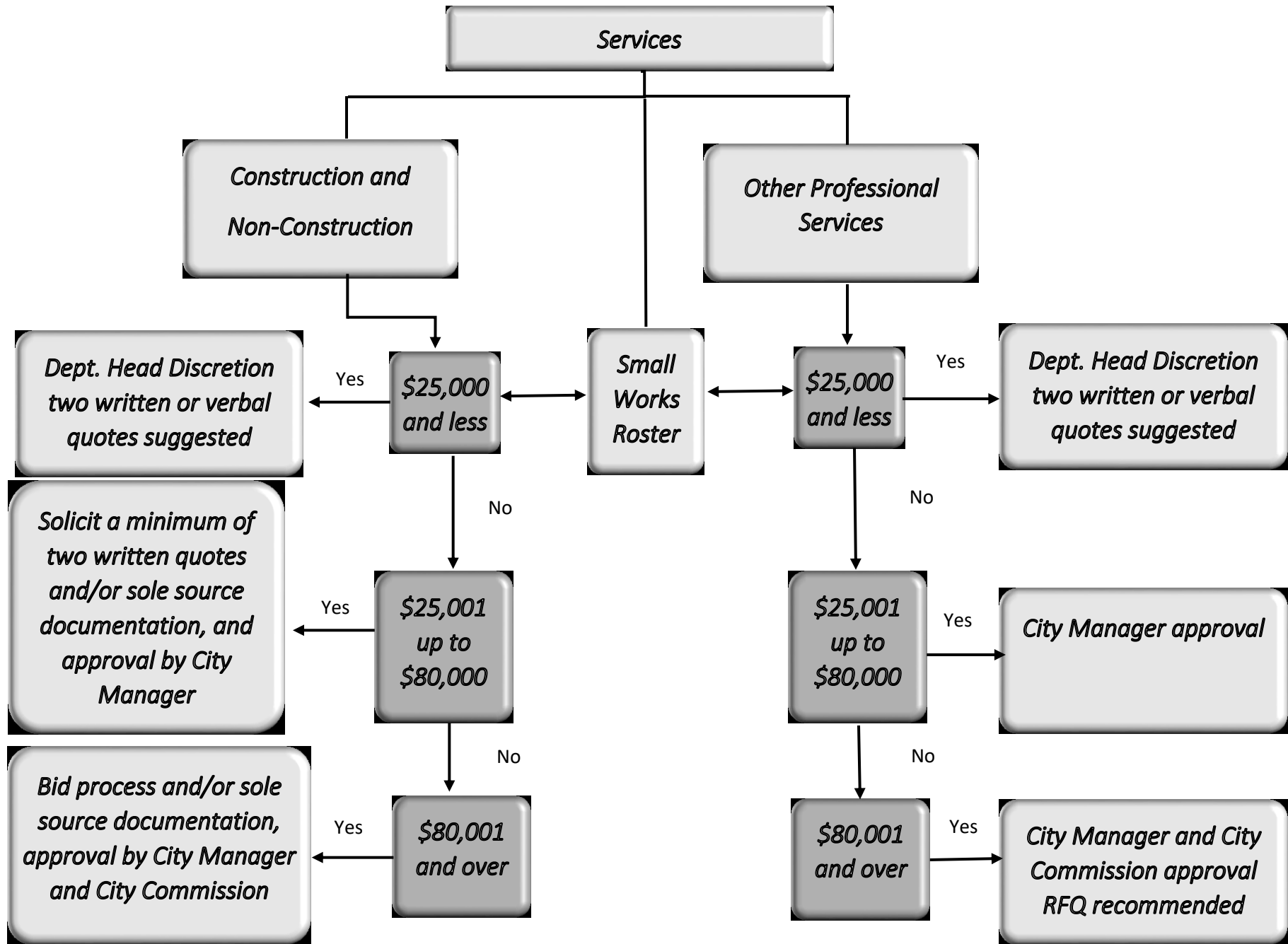
** e.g. Grounds maintenance, custodial or security services, material and mail handling

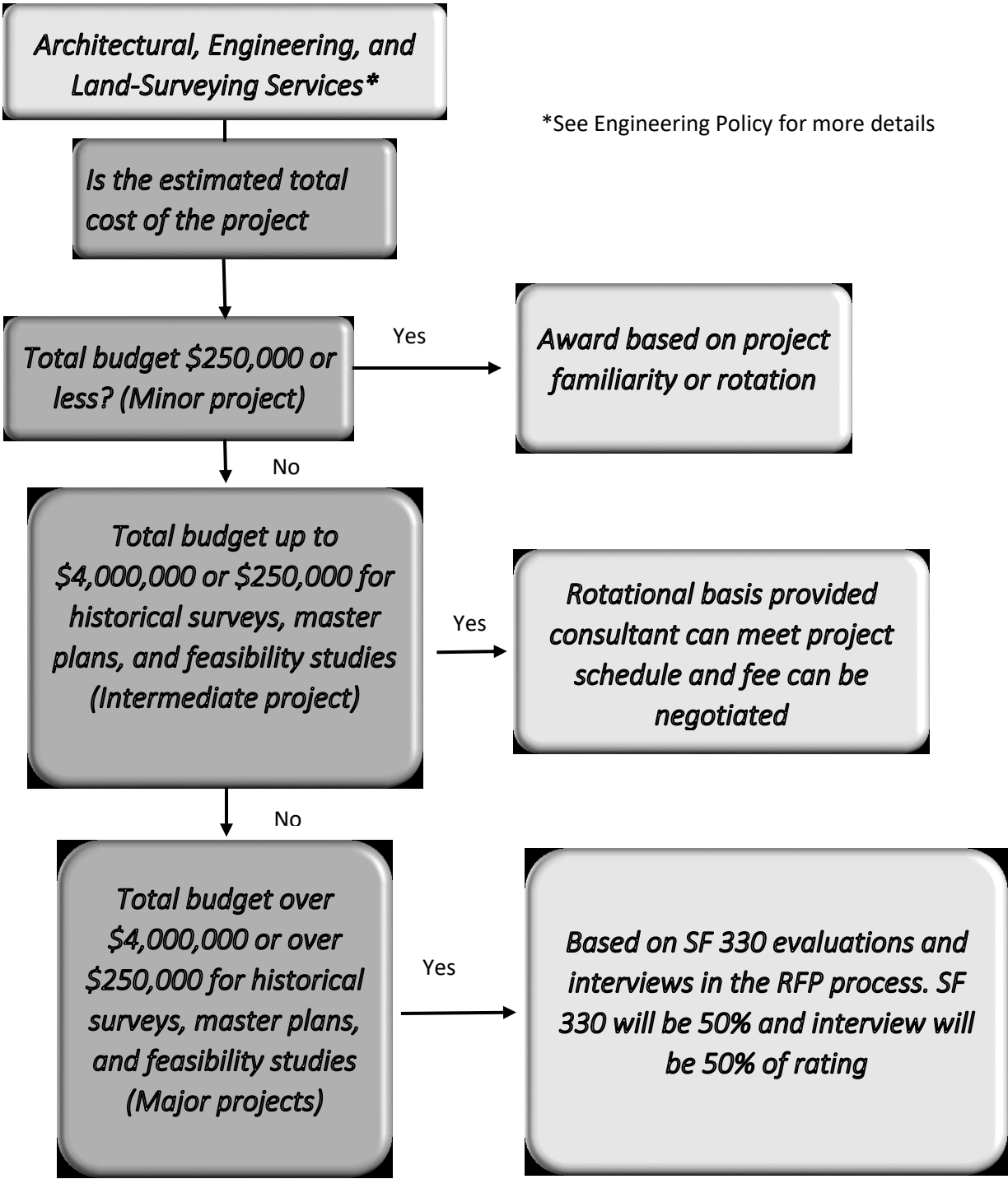
*** Repairs to equipment, overhead doors, windows, water heaters, etc. DOES NOT include construction such as alteration, maintenance and remodeling

**** Refer to Architectural, Engineering, and Land Surveying policy maintained by Public Works

***** e.g. Legal, Physicians, Consultants, Trainers if over \$80,000, request for qualifications is recommended but may be waived by the City Manager.







City of Great Falls Internal Controls Policy

Internal Controls

Internal controls are the plan of organization and the methods and procedures used to safeguard assets and other resources, and to assure that those assets and resources are used.

Several objectives for internal control are:

- Assets and resources of the City are used in accordance with applicable laws, regulations or City Commission action.
- Transactions are conducted in accordance with the City's authorizations and directives and are executed as efficiently and effectively as possible.
- All transactions are properly recorded for reliable reporting.
- To maintain accountability of City assets.
- Timely and accurate reports of the governmental unit's activities are provided to its constituencies.

The cost of internal controls should never exceed related benefits. The risk of collusion is a limitation of internal control. Control-related policies and procedures are designed so that one employee functions as a check on another employee's work (segregation of incompatible duties). In such cases, there is always the risk that employees who are supposed to serve as a check on one another may instead work together to circumvent control. The Finance Department conducts various surprise audits on equipment, cash handling, etc. throughout the year to prevent common types of fraud.

Common forms of fraud include:

- Pilfering postage stamps or mail services.
- Stealing tools, supplies and other items of equipment.
- Removing small amounts from cash funds and registers.
- Creating overages in cash funds and registers by under recording.
- Overloading expense accounts or diverting advances to personal use.
- Pocketing payments on customer's accounts, issuing receipts on scraps of paper or in self-designed receipt books.
- Failing to make bank deposits daily or depositing only part of the money.
- Increasing amounts of petty cash vouchers and/or totals in accounting for disbursements.
- Using personal expenditure receipts to support false paid-out items.
- Selling waste and scrap materials and pocketing proceeds.

City of Great Falls Petty Cash Policy

Petty Cash Funds

Petty cash funds are set up and administered by a custodian in each department and are to be used by City employees for small purchases up to \$100.00. Expenditures over \$100.00 need to be approved by the department head in advance of the purchase. The use of the Petty Cash Fund is to ensure departments are able to make small purchases quickly as needed. The Petty Cash Fund is not a way to circumvent City purchasing policies. All purchasing policies must be followed. To establish a Petty Cash Fund the Department Head will request a fund along with the dollar amount requested in a Memo to the Finance Department Head. Once the Finance Director approves the fund the department will enter the request into the accounts payable system.

Petty Cash Use Procedures

Petty cash may be advanced or reimbursed to a City employee.

If the advance method is desired the employee will receive an advance for a purchase while estimating the price of the purchase. When an advance is received, the employee will complete an "I Owe You" form with the following information listed:

- Item to be purchased,
- estimated purchase price,
- date, and
- signature.

When the purchase is completed, later the same day, the "I Owe You" form will be replaced with the itemized receipt and the correct change returned to the Petty Cash Fund.

If the reimbursement method is chosen, the employee will get appropriate approval within the City, purchase needed item(s) from vendor, and return with itemized receipt or invoice to get reimbursed by the custodian.

Reconciliation

The custodian will maintain the Petty Cash Log to record all expenditures from the fund. The receipts listed on the log sheet plus the cash should always balance to the amount in the Petty Cash Fund. If the cash and receipts do not equal the Petty Cash Fund amount an overage or shortage should be recorded. The custodian also needs to monitor the amount of petty cash available and be sure to replenish the fund as needed through the accounts payable process.

City of Great Falls

Fixed Assets and Construction in Progress Policy

Fixed Assets

Fixed assets are items that are purchased, constructed, or donated to the City of Great Falls (City) with a purchase price or value of \$25,000 or more and a life expectancy of more than three years. The City has several classes of Fixed Assets Land, Building and Structures, Intangible Assets, Improvements other than Buildings, Machinery and Equipment, Inventories, Infrastructure, and Plant.

Items purchased in bulk (library books, golf carts, garbage containers) may exceed \$25,000 but do not meet the criteria since the individual item is not valued at \$25,000 or more. Library books and other grouped items were once capitalized but are being removed from the fixed asset list as they are fully depreciated in order to comply with this policy. Every department is required to keep track of controlled assets, items that are City owned but do not meet the \$25,000 threshold, items such as equipment, office supplies, etc.

Fixed Assets Classes

Land - Property the City owns and is listed as the owner on property tax bills and was not purchased for investment purposes.

Buildings and Structures - All buildings, sheds, or anything that is constructed with a fixed location on the ground.

Intangible assets - Rights of ways, easements, water rights,

Improvements other than Buildings - Sidewalks, sprinkler systems, fencing, trails

Machinery and Equipment - Vehicles, plows, mowers, items that are moveable

Inventories – Parts in Water Fund meters are no longer being added to fixed assets

Infrastructure – Sewer mains, storm drains, water mains, manholes, gate valves

Plant – Non-moveable assets related to the Water Treatment Plant and the Sewer Treatment Plant.

Depreciation

Fixed assets purchased by governmental funds are recorded as expenditures in the fund when the asset is purchased. Depreciation is not recorded in governmental funds at the fund level. In the government wide statement of net assets and the government wide statement of activities, the assets are capitalized and depreciation is reported.

All fixed assets purchased by proprietary funds, except land and some intangible assets are depreciated by straight-line depreciation based on the estimated useful lives.

The estimated useful lives for each category are:

Buildings	20 - 50 Years
Improvements	15 - 20 Years
Equipment	3 - 25 Years
Inventories	3 - 25 Years
Infrastructure	
Plant	15 - 50 Years

Acquisition Date

An asset is placed in service as of the date of the last invoice charged against the project. Vehicles and other Equipment are placed in service as of the date of the invoice provided the equipment was received and is on premise at the time the invoice was billed.

Controlled Assets

Controlled assets are City owned property with a value less than \$25,000. Every department is required to track controlled assets as if they were fixed assets. The controlled asset list will be maintained regularly by each department and the list will be submitted to the Finance Department annually by, July 15th of each year.

Construction in Progress

Construction in Progress (CIP) are projects that have not been completed by the end of the fiscal year. Once a project has been completed, the final payment has been made, the project will be removed from CIP, an asset will be created and placed into service. The project is also be closed at this time, not when the warranty period is over. Every year the Engineering Department will submit two lists to the Finance Department:

- Projects that closed within the Fiscal Year
- Current Projects

Received by the Finance Department by July 15th. The Finance Department will verify the state of the projects in CIP.

Disposals

Fixed assets have a limited life span and need to be removed from the Fixed Asset Schedule when disposed of, traded-in, obsolete, damaged beyond repair, depleted, junk, replaced, unable to locate, or when items have been capitalized and should not have been because they do not meet the capitalization policy.

Inventory

Inventory of all fixed assets will be completed at least once every five years, preferably 20% ever year.

City of Great Falls

Real and Personal Property Sale, Trade, or Lease Policy

Governmental Entities

The City may sell, trade, grant, donate, or lease for any period of time any real or personal property to a governmental entity by negotiation without an appraisal or advertising for bids. If, by grant or donation, the real or personal property must be retained for a direct or perpetual public benefit or use.

Real Property

The City may sell, trade, or lease for any period any real property whether or not the same be held in trust for a specific purpose without a vote of the electors and when passed by a four-fifths vote of all the members of the City Commission.

In the case of property held in trust for park purposes, and before the sale, trade or lease of the same, the Park Board shall review the proposal and make a recommendation to the City Commission.

Before final consideration by the City Commission of the sale, trade or lease of City property, the City Commission shall hold a public hearing thereon and allow at least fifteen days notice of the time and place of such hearing to be published in a paper of general circulation in the City.

The City shall obtain an appraisal of the subject property for sale or trade to determine a minimum price except and unless the cost of appraisal is estimated to exceed seven percent of the value of the subject property whereupon the City shall establish a minimal price by comparable sales or leases in the area. Other comparable sale or leases in the area shall determine estimated land values. If a minimum price or value is established by appraisal, no bid or trade shall be accepted which does not meet or exceed the appraised value.

The City Commission may require an appraisal to establish a minimum price on any or all property whenever it is deemed in the best interest of the City.

The sale, trade, or lease of property must be made to the highest responsible bidder except:

- Where there is no actual potential for more than one party interested in making a bid.
- For a lease of recreational facilities related to special events.
- Where the City trades or exchanges for property of a like kind with equal or greater value.
- Where the use is to continue for a public purpose and it is subject to a reversion to the City should the use ever be changed to any other purpose.

Advertisement for bids/proposals shall be made once in a paper of general circulation in the City with the publication to be not less than five nor more than twelve days before the bid/proposal due date.

The City may require a development proposal for the sale, transfer or lease of property, which may include but not be limited to designation of a specific use or other conditions established by the City Commission.

Personal Property

The City may sell, trade or lease any personal property, scrap, surplus, etc. by negotiation without advertising for bids, for any period of time, unless the value thereof, either singularly or in the aggregate, exceeds \$25,000 whereupon such sale, trade or lease must be made to the highest bidder.

The City may obtain an appraisal to determine the value or to establish the minimum sale price for the property.

Where any single item of personal property exceeds a reasonably estimated value of \$25,000 and staff recommends the sale or other disposition of the property, an agenda report must be provided to the City Commission to declare the item to be surplus property subject to sale, and for the Commission to approve or disapprove the sale.

Any single item of personal property that does not exceed a reasonably estimated value of \$25,000 may be declared surplus property at the discretion of the Department Head.

A listing of all items declared surplus property must be submitted to the Finance Department for comparison to the Fixed Asset listing.

Advertisement for bids shall be made once in a paper of general circulation in the City with publication to be not less than five nor more than twelve days before the bid/proposal due date; or the City may place the item for sale on an internet auction site with an established minimum price. Whether an item is sold by advertisement for bids/proposals or on an internet auction site is up to the discretion of the Department Head.

Definitions

Lease – A contract by which one party conveys land, property, equipment, etc. to another party for a specific time in return for payment.

Personal Property – Moveable equipment.

Real Property – Land and Buildings.

Sale – Transfer of ownership for cash or equivalent.

Scrap – Inoperable equipment or discarded metal.

Surplus – Quantity of an item that is greater than needed.

Trade - Exchange of one or more items for one or more items with similar value.

City of Great Falls
Copier or Fax Security Policy

Copier or Fax Security

Departments should be aware when leasing or renting copier equipment of the eminent threat of data security breach. Since 2002 almost all copier equipment manufactured contains a computer hard drive whereby all information that is copied, scanned or faxed from these copiers is stored on a hard drive. Any copier (rented or purchased) must not leave the premises until the hard drives have been removed and given to the IT Department. This should be performed by the copier company or lease company. This should cover both termination of the contract or equipment being swapped or upgraded. All Police Department copiers must not leave the premises without either a 3 pass DOD wipe being performed on the drives or the drives destroyed or a certain form of encryption.

To ensure that all City employees responsible for making departmental purchases for leased copier equipment and to protect the security of confidential information the following guidelines have been established:

1. Existing Lease or Rental
 - a. Prior to the end of the lease; consult the vendor regarding the purchase of the hard drive or;
 - b. Contact vendor to see if Immediate Image Overwrite (IIO) or On Demand Image Overwrite (ODIO) software can be purchased and added to copier

2. New Lease or Rental
 - a. Inquire if Immediate Image overwrite (IIO) or On Demand Image Overwrite (ODIO) software can be purchased;
 - b. Add an addendum to the contract to have the vendor erase the hard drive upon termination of lease; or
 - c. Inquire of the vendor as to the option that the hard drive can be purchased upon termination of lease.

City of Great Falls
Payment Card Information
Data Security Standards and
Credit Card Acceptance Policy

Introduction

The City of Great Falls accepts credit cards as payment for goods and services. By accepting credit cards, The City of Great Falls (City) assumes significant risks with respect to protecting cardholder data. The Payment Card Industry Security Standards Council (PCI SSC) has developed a set of comprehensive financial and information technology requirements, called Payment Card Information Data Security Standards (PCI DSS), to protect credit cardholders' data. The standards are designed to protect cardholder information of City customers to transact business with the City. This policy is designed to work with the complete PCI DSS requirements as established by the PCI SSC.

Credit Card Processing Policy

The PCI DSS requirements vary depending on how the merchant, The City of Great Falls, processes credit card transactions. The most stringent requirements are for organizations that store credit card numbers in any form. Therefore, it is the policy of the City of Great Falls that no credit card numbers may be stored in any format for any reason. Credit card transactions may be processed through PCI DSS compliant third party or online providers.

The processing of any credit card transactions for the City must meet the following requirements:

- Any proposal for a new process (electronic or paper) related to the storage, transmission or processing of credit card data must be brought to the attention of and be preapproved by the Finance Director.
- All credit card merchant accounts must be preapproved by the Finance Director. Web payments must be processed using a PCI compliant service provider preapproved by the Finance Director.
- Credit card information must not be stored on City network servers, workstations, or laptops. Credit card numbers must not be entered into a web page of a server hosted on City network.
- Departments, which accept credit cards, may be subject to a risk assessment by the IT Manager. The results of all such assessments will be reported to the Finance Director.

- All employees involved in processing credit card payments must be aware of this policy, understand the risks associated with their handling of sensitive information, and complete annual compliance training.
- Credit card information must not be transmitted via email.
- Although electronic storage of credit card data is prohibited by this policy, the City will perform periodic scans to insure that the policy has not been violated.
- Neither the full contents of any track for the magnetic strip nor the three-digit card validation code may be stored in a database, log file, or point of sale product.

Enforcement

The Information Technology Manager (IT Manager) shall enforce compliance with the PCI DSS requirements. The IT Manager is responsible for risk assessments, vendor review and periodic scanning for sensitive information. Additionally, the IT Manager is the authorizing entity for the quarterly City compliance statements required by PCI DSS.

Incident Response

All employees should be familiar with this policy. Anyone may report cases of suspected fraud or abuse. All employees are required to report any actual incidence of theft or fraud. If you believe that an incident has occurred, please notify the IT Manager or the Finance Director immediately. Any questions regarding this policy may be addressed to the IT Manager.

Acceptance of Payments

All payments that are received in person must be supported by the appropriate documentation in the following list:

- The signed copy of the receipt produced by the credit card machine will be retained for City records.
- A copy of the completed sale for the customer produced by the credit card machine and given to the customer.

At no time shall a credit card number, expiration date, nor CVV code be written down, saved into any form of electronic file, or photocopied during a sales transaction.

Additional Information

<https://www.pcisecuritystandards.org>



Technology Project Request Form

This form was created to improve the coordination and efficiency of the City's Technology-related projects. Please use this form to submit your technology project. PLEASE RETURN to the I.T. Operations Manager.

Select Project Type:

Check all that apply

- New Technology
- Technology Upgrade
- Other

Requester Name: _____

Department/Division: _____

Date of Request: _____

Requested Date of Completion: _____

Project Summary (State the need in functional terms providing full details of the request):

Justification Summary (Provide justification to support the need for this request):

Financial Impact (Projected Year one and any recurring costs of the request, including ongoing vendor annual maintenance/support):

Funding for Project (Please include account(s), project number(s), awarded grants, etc. used to finance this technology project):

Indicate which services this project will require (may be several):

Check all that apply

	Procurement	Implementation	Training and Support
Hardware			
Software			
Cloud-Internet Service			
Networking			
Disk Storage			
Data Backup			
GIS Services			
Web Services			
Other			

Requesting Department Head Signature

I.T. Operation Manager Signature

Finance Director Signature

City Manager Signature

City of Great Falls Standard Technology Agreement

All technical contracts between the City and any Vendor or Provider must meet the following requirements. Meeting these requirements help ensure the City of Great Falls is meeting its own terms and conditions. Any terms and/or conditions that cannot be met requires an attached explanation or response which is acceptable to the City.

TERMS AND CONDITIONS

- 1) Provider agrees that it is an independent contractor for purposes of entering into a contract and is not to be considered an employee of the City of Great Falls for any purposes.
- 2) Provider agrees all work product shall become the City's property.
- 3) Provider agrees to meet any timelines which must be included in the contract and/or Statement of Work.
- 4) Included in the contract are provisions for termination in the event of non-performance, *force majeure*, or by either party upon thirty (30) days written notice prior to cancellation.
- 5) Provider agrees it will not transfer an awarded contract without prior written consent of the City.
- 6) Provider will comply with all federal, state and local laws, ordinances, rules, and regulations, including the safety rules and codes and provisions of the Montana Safety Act in Title 50, Chapter 71, MCA.
- 7) Provider will carry, maintain, and furnish proof of commercial general liability insurance to the City's satisfaction, including an Additional Insured Endorsement naming the City as an additional insured, professional liability insurance, and worker's compensation coverage.
- 8) Provider will carry, maintain, and furnish proof of 3rd party cyber security insurance.
- 9) City of Great Falls is a public entity. Provider acknowledges that any written information provided to the City of Great Falls may be subject to public inspection under Montana or other applicable law and subject to records retention laws.
- 10) Provider shall indemnify, defend and hold harmless City of Great Falls from any and all claims, lawsuits or liability, including attorney's fees and costs, arising out of, in connection with, or incident to any loss, damage or injury to persons or property or arising from a wrongful or negligent act, error or omission of Provider, its employees, agents, contractors, or any subcontractor as a result of Provider's or any subcontractor's performance pursuant to the contract.
- 11) Please note that the City of Great Falls is exempt from payment of Federal Excise Tax. Its taxpayer identification number is 816001269.

(Great Falls Technology Agreement continued)

By signing below, Provider agrees it meets the above terms and conditions. These terms and conditions supersede all other signed agreements/contracts and are required as an addendum to all signed contracts or agreements between the City and the Provider or Vendor.

_____	_____	_____	_____
Provider/Vendor Signature	Date	Authorized City Signature	Date

City of Great Falls SaaS Agreement

All Software as a Service (SaaS) contracts must meet the following requirements. Meeting these requirements help ensure the City of Great Falls is entering into agreement with a Provider that places a high value on City data and access (to that data). Unlike traditional on premise solutions (where the City assumes most of the responsibility for its own data and access), SaaS puts a greater responsibility on a Provider to deliver and maintain an available, accessible, and secure solution. The City expects all Providers to meet these minimal requirements. Any items that cannot be met requires an attached explanation/response which is acceptable to the City.

1. Service Levels

- a. Provider will deliver no less than 99.5% up-time. The industry SLA standard for SaaS vendors is typically between 99.5% - 99.9%. At 95.5%, the allowable down-time should not exceed 11 hours in any given quarter. This excludes any outage that is not the fault of the Provider (for example: internet outage or natural disaster).
- b. Provider may be required to provide refunds for excessive downtime at the end of any quarter (anything less than 99.4% up-time and/or greater than 13 hours of down-time).
- c. Provider will allow the City the option to terminate all agreements without penalty should Provider up-time fall below 99% (and/or equal to 22 hours of down-time) for any given quarter.
- d. Provider will allow the City the option to terminate all agreements without penalty should a known critical software deficiency (one that is deemed by the City to cause significant negative impact to City business) extend beyond a 72 hour period without resolution. The City must give written notice of any critical software deficiencies to the Provider.

2. Data

- a. Provider accepts that all data is property of the City of Great Falls.
- b. Provider will host City data in a U.S. location.
- c. Provider will conduct daily backups of City data.
- d. Provider will store backups in an offsite U.S. location.

3. Security

- a. Provider will secure all areas that host City data.
- b. Provider will be SSAE 18 compliant.
- c. Provider will run regularly scheduled security vulnerability assessments/penetration tests.
- d. Provider will secure all client connections by VPN.
- e. Provider will secure all client connections by meeting PCI standard password requirements.
- f. Provider will run antivirus and anti-malware either at the host or on an edge device (where host is located).
- g. Provider will log access to the system/database.
- h. Provider will provide a copy of its liability insurance coverage.

(Great Falls SaaS Agreement continued)

- i. Provider will provide a copy of its 3rd party cyber security insurance.
- j. Provider shall provide a copy of its cyber liability coverage (if not included in its liability insurance coverage).

4. Business Continuity

- a. Provider will have a plan in place for power or critical service failure.
- b. Provider will have a plan in place for physical disasters such as fire, water, or other natural disaster.
- c. Provider will have a plan in place for security breaches such as a DDOS or ransomware attack.
- d. Provider should have a Disaster Recovery failover site.
- e. Provider will provide the City its data in a usable format upon termination of contract.

By signing below, Provider agrees it meets the above requirements. These requirements and terms supersede all other signed agreements/contracts and are required as an addendum to all signed contracts/agreements between the City and the Provider as they relate to Cloud-based/SaaS services.

Provider/Vendor Signature	Date	Authorized City Signature	Date
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City of Great Falls Technology Purchasing Policy

Overview

In order to ensure compliance with City-wide information security policies, and to ensure that hardware and software are adequately tracked for audit, licensing and warranty purposes, the Information Technology (I.T.) Division requires that users and departments comply with certain purchasing and procurement guidelines. Compliance with these guidelines helps ensure the Information Technology Division can provide quality support that meets the needs of every user in every department.

Purpose

These guidelines help departments understand the correct procedures for ordering new technology in compliance with the City's Technology Purchasing Policy. This policy also helps departments understand the reasoning and methodology behind such procedures.

Scope

Covered under the scope of this policy are all departments and divisions who receive support from the I.T. Division.

Guidelines

All technology purchases must be approved by Information Technology. Individuals and departments will not procure their own hardware, software, and/or any technology services without coordination and/or approval from the Information Technology Operations Manager. Additionally, all technology contracts must either include signed Standard Technology and/or Software as a Service (SaaS) Agreements or the vendor's contract(s) must include and/or respond to and address these requirements in full. These agreements help protect the city organization from entering into unfavorable contracts.

Types of technology covered in this policy include, but are not limited to, the following:

- Desktop computers
- Laptop computers
- Tablets
- Servers
- Network devices (routers, switches, firewalls, Wi-Fi)
- Printers
- Scanners
- Software (including freeware)

- Technology related services (Software as a Service, cloud computing, networking adds/changes, web hosting).

Guidelines for procuring technology:

- 1) **Determine a technology need:** Technology need refers to the concept of gaining real benefit and/or performance from the use of technology. It is crucial to determine need vs. want as it relates to technology. Entities can expend a lot of time, effort and money pursuing technology wants rather than focusing on technology needs. e.g. An employee may want a more expensive Surface Pro laptop when a Dell tablet may serve their needs. The I.T. Division must be part of any tech-related selection and procurement processes in order to ensure compatibility with other systems.
- 2) **Determine the technology impact:** When considering technology, it is imperative to determine the potential impact(s) on departmental and organizational processes. For example, adding a computer and monitor at the Water Plant may not cause the department and/or the City organization to change any processes and/or the way business is conducted. However, implementing a new payroll system would likely impact every department, causing many City employees to be trained and/or to learn new processes.
 - A) Low Impact Technology-** Most technology requests within the City are considered to be Low Impact. **Low impact** technologies include but are not limited to adding a computer, printer, monitor or basic software package (e.g. Microsoft Office) for an employee and/or small group of employees. These type of requests require minimal effort with regard to planning, staff involvement or training. Low Impact requests are generally fulfilled within 2 weeks (depending on product availability and/or staff availability). All Low Impact technology requests must be approved by the requesting Division Head and the I.T. Operations Manager and submitted as an e-mail request.
 - B) Medium Impact Technology-** These technology requests require a significant level of planning, greater staff involvement and training. **Medium Impact** technology affects a significant number of employees and/or departments. For example, adding a scheduling software for Engineering would not only affect a significant number of employees but would also require planning, staff involvement and training on the new system. Medium Impact requests are typically fulfilled within 3 months (depending on vendor/staff availability).
 - C) High Impact** technology typically affects multiple departments or the entire organization. Implementing a new Business or Finance system is a good example of a **High Impact** technology. Planning is critical. Abundant staff time, commitment and effort are crucial. Training is imperative. When confronted with High Impact technology requests, Information Technology will assign a Project Manager to assist and help ensure that these technologies are delivered successfully. Large Impact requests often take more than a year to fulfill.

Requirement

All Medium and High Impact technology requests are considered to be projects and must officially be made using the **Technology Purchase Request Form**. This form must be approved by the requesting Department Head, I.T. Operations Manager, Finance Director and the City Manager.

Information Technology criterion for approval includes adhering to the City's purchasing policies as well as, but not limited to, the following conditions:

- Is the vendor and/or manufacturer reputable within the technology industry?
- Can the I.T. Division deliver and support this solution with its current infrastructure/environment?
- Is the vendor support acceptable?
- Are the support hours a minimum of Mon – Fri 9am – 5pm?
- Are support centers located in the U.S. or in foreign locations?
- Are there any recourses provisioned within warranties and/or contracts for failure to deliver satisfactory product and/or services to the City?
- Is the contract term less than 5 years (preferably 3)?
- Has the vendor or provider signed the Standard Technology Agreement?
- If applicable, has the vendor or provider signed the SaaS Agreement?

Items to consider prior to adding new technology

- Is the technology a need? Will this technology add a benefit or positively affect workflows, efficiencies or results?
- Are there available funds that can be used for the purchase of the technology **and** any ongoing annual costs (such as maintenance and/or upgrades)?
- Is staffing available that can dedicate the resources needed to help guarantee a successful implementation? What does the project team look like? Who are the most reliable subject matter experts? Technology projects require a lot of work and commitment.
- What is the requester's role? Often times, the most critical role is simply to make sure that a technology is getting utilized and is a sound investment.
- Please keep in mind that no technology is perfect. There are strengths and weaknesses within every technology, depending on the reviewer. It is very important to consistently remind yourself and others of this fact. Even the best technologies can break and/or cause levels of frustration. Fostering a level of technology ownership generally produces positive results.
- Continue to develop and maintain a thorough understanding of the impacts technology can make on employees, department(s), policies, procedures and workflows.
- Maintain contact with your peer and other employees. Inquiring how technology may be changing their others' work processes may prove extremely beneficial.

The role of the I.T. Division:

- I.T. Division staff are subject matter experts on networking, systems administration, infrastructure, data storage, security, hardware/software support, project management, etc... I.T. staff are not subject matter experts on every City technology, process or workflow. For example, no one understands Emergency Call Center operations more than a 911 Dispatcher who takes calls and enters that data into the system every single day. This is why it is essential to help provide and devote that level of expertise to projects.
- I.T. will dedicate resources to technology research, demonstrations, procurement, project management, administration and support.
- I.T. will continue to provide support for any technology that is still in use and/or current in its licensing, maintenance or subscription.

CITY OF GREAT FALLS

ARCHITECTS/ENGINEERS/SURVEYORS SELECTION POLICY FEBRUARY 13, 2019

I. PURPOSE

It shall be the policy of the City to negotiate agreements for Architect/Engineer/Surveyors (A/E/S) services on the basis of demonstrated competence and qualification for the type of professional services required by the City, in the City's determination of its best interests. The main intent and purpose of the policy is as follows:

- A. To provide for a systematic procurement of A/E/S Services;
- B. To ensure the best qualified talent is obtained to perform services for the public; and
- C. To obtain professional services required by the City at fair and reasonable fees.

The City intends this policy to be applicable only to the professionals as defined in the following classification section. The City may, at its discretion, use this policy for other professional services procurement contracts.

II. CLASSIFICATION

For purposes of classification, the City initially establishes Architects, Engineers, and Surveyors as the categories in which each firm can classify itself.

A. Architect Services. Architect Services means any professional service or creative work requiring the application of advanced knowledge of architectural design, building construction, and standards and involving the constant exercise of discretion and judgement in such activities, in which the safeguarding of life, health, or property is concerned, as consultation, investigation, evaluation, planning, design, and/or inspection of construction for any public or private building.

B. Engineer Services. Engineer services means any service or creative work, the adequate performance of which requires engineering education, training, and experience in the application of special knowledge of the mathematical, physical and engineering sciences to such services or creative work as consultation, investigation, evaluation, planning and design of engineering works and systems, planning the use of water, teaching of advanced engineering subjects, and the inspection of construction for the purpose of assuring compliance with drawings and specifications; any of which embraces such services or work, either public or private, in connection with any utilities, structures, buildings, machines, equipment, processes, work systems, projects, and industrial or consumer products or equipment of mechanical, electrical, electronic, hydraulic, pneumatic, or thermal nature insofar as they involve safeguarding life, health, and property. The term does not include the work ordinarily performed by persons who operate or

maintain machinery or equipment, communication lines, signal circuits, electric powerlines, and/or pipelines.

C. Surveying Services. Surveying services means any service or work, the performance of which requires the application of special knowledge of the principles of mathematics, physical sciences, applied sciences, and; the principles of property boundary law to the recovery and preservation of evidence pertaining to earlier land surveys; teaching of land surveying subjects; measurement and allocation of lines, angles, elevations, and coordinate systems; location of natural and constructed features in the air, on the surface of the earth, within underground workings, and on the beds of bodies of water, including such work for the determination of areas and volumes; monumenting of property boundaries; platting and layout of lands, and the subdivisions of land, including the alignment and grades of streets and roads in subdivisions; preparation and perpetuation of maps, plats, field note records, and property descriptions; and locating, relocating, establishing, reestablishing, laying out, or retracing of any property line or boundary of any tract of land or road, right-of-way, easement, right-of-way easement, alignment, or elevation of any of the fixed works embraced within the practice of engineering. Aerial photography, photogrammetric mapping, and/or Lidar are excluded from the definition of surveying services due to the highly specialized equipment and technical skills required.

III. PROCEDURE

A. Filing Solicitation. Every three years, the City will advertise for filing of Standard Federal Government Form (SF) 330. All completed 330 forms that are received will be filed and the respective firms will be considered for work that they are qualified to perform. The filing will be in effect until the expiration of the three-year filing period. All 330 forms or amended 330 forms may be submitted at any time during the three-year period. New filings will be required at the end of each three-year filing period. All firms within the City that desire to be placed on the minor projects list should notify the City Engineer of the desire to be included on that classification list and must provide all information necessary to be included on that list.

B. Project Solicitation. A City Request for Proposal (RFP) will be available on the City website, newspaper, and/or other public posting. Proposals submitted by the consultants shall contain the Standard Federal Government Form (SF) 330 and other information specifically addressing the criteria. Selections will be made as outlined in this Policy. The SF 330 may contain up to ten (10) years of historical projects.

C. RFQ/RFP. Requests for Proposals will include the following:

1. Estimated Project Budget;
2. Scope of Services Requested;
3. Schedule and Time Frame;
4. Fee. A maximum fee for the services requested which is established by the City in relation to project complexity. Firms will either respond or not, based on

proposed schedule and fee offered. The maximum fee may be set by the entire selection committee; and

5. Specific Fee Items:

- a) City will not pay mark up for reimbursable expenses except for sub-consultants. Sub-consultants' mark up will be limited to a maximum of 10%.
- b) City will pay Internal Revenue Service (IRS) rate for mileage reimbursement.
- c) City will not pay extra for fax usage, email, phone calls (other than long distance), and other miscellaneous office expense. Postage will be reimbursed if consultant distributes contract documents.

IV. PROJECT CATEGORIES

A. Major Projects. Projects having a total estimated budget (consultant fees plus construction) in excess of \$4,000,000 for Engineers or Architects, and projects similar to historical surveys, master plans and feasibility studies with a budget in excess of \$250,000, will be awarded based on SF 330 evaluations and interviews via the RFP process. The SF 330 and proposal evaluation will be 50% and the interview will be 50% of the total rating.

B. Intermediate Projects. Projects having a total estimated budget (consultant fees plus construction) of less than or equal to \$4,000,000 for Engineers or Architects, or \$250,000 for historical surveys, master plans and feasibility studies, will be awarded to consultants on a rotational basis, at the City's discretion, provided the consultant can meet the project schedule and a fee can be negotiated. City Staff will review the rotation list and identify the next three qualified consultants. City Staff will rank the three consultant firms based on project familiarity and involvement criteria. If the top consultant is unable to meet the project schedule or fee settlement, staff will contact the next qualified consultant and the first consultant will maintain its position on the list for the next upcoming project.

C. Minor Projects. Projects having a total estimated budget (consultant fees plus construction) of \$250,000 or less are considered minor projects. The City may award these projects, in the City's discretion, to an A/E/S based on project familiarity and involvement criteria in lieu of strictly rotational criteria. Non-selected A/E/S's shall, however, be included in the next rotation to help ensure equitable distribution of projects. The City shall endeavor to provide equal work to all consultants in this category in conjunction with the intermediate projects.

Note: The City may choose to use the RFP process for any category of project at the City's discretion.

V. SELECTION COMMITTEE

The selection committee will include the Public Works Director, the City Engineer, the Project Engineer, and Division Managers in charge of an asset that is being improved. The City reserves the right to include additional City personnel on the selection committee that may have an interest in the project.

VI. SELECTION CRITERIA FOR MAJOR PROJECTS

A. SF 330 Point Allocation. The point allocation criteria will be used by the Selection Committee to rank consultants submitting RFPs on major projects. The criteria will provide 50% of the point total for selection on major projects based on RFPs, with the interview providing the remaining 50%. Interviews may or may not be conducted, at the City’s discretion.

B. Criteria. Firms will be evaluated based on the following criteria:

<u>CRITERIA (50% of CUMULATIVE POINT TOTAL)</u>	<u>POINTS</u>
Past Performance	20
Technical Experience	20
Technical Capabilities (Staffing, Equipment, Facilities)	20
Location	20
Knowledge and Project Approach	<u>20</u>
TOTAL POINTS	100

C. Rating Criteria Definitions. The following definitions are to supplement the intent of the criteria as noted above in the SF 330 point allocation:

1. Past Performance. Check references to determine the quality of performance (however, do not limit contact to individuals listed as reference). Make on-site inspections, if possible, of projects that the consultant has worked on. Contact personnel operating a project that was designed or supervised by the consultant. How long has the consultant been in business? Did the consultant make necessary corrections to ensure the project performs properly? Exit interviews from previous projects may be utilized, if available.
2. Technical Experience. General experience of the firm and experience applicable to the specific project or tasks to be done.
3. Technical Capabilities. Availability of adequate personnel, equipment, and facilities to do the needed work. The name of the individual or individuals to be assigned to the project with particular attention to their qualifications, competence,

and service with that firm and previous firm(s). It should be noted that the age or the size of the firm is not always a prime consideration for every project.

4. Location. The location of a firm may allow up to 20 points to be added to an evaluation. Great Falls firms shall receive 20 points. The greater the distance from Great Falls, the fewer the points to be awarded.

5. Project Approach. The approach to the project work. The familiarity with the project site. The proposed time schedule for completing the work.

6. The City may place a limit on the number of pages that may be submitted in the different sections of the RFP. Limits will be provided to the consultants at the start of the RFP process.

D. At the completion of the RFP evaluations, the City may distribute the point rating to the consultants, if three or more consultant teams have submitted RFPs. Based on the point totals and other individual decisions, consultants may request to be omitted from the interview process. At least 10 days shall elapse between the time point totals are distributed and the time of the interviews. Consultants who request not to continue to the interview process must contact the City at least 5 days prior to the start of the interviews.

E. Interviews. Interviews will be rated at 50% of the cumulative point total. One interview question shall include the consultants' view of the scope of work, timetable and level of effort required. Four other project specific questions will be rated. Prior to the interview, the submitting firms will be notified of their proposal ranking and their resulting position relative to the other firms. The interview portion of the ranking will total 100 points. A listing of all firms to be interviewed will be distributed.

F. Fee. Sealed fee estimates will be submitted at the interview based on the response to the RFP. These fee estimates will be non-binding and non-evaluated. After the selection team chooses the number one firm to negotiate with, negotiations for fee will begin using the estimates submitted by all firms being interviewed. The fee will not be used in the selection process, but Staff will have information to negotiate an equitable fee with the number one ranked firm.

G. Ranking and Proposals. Total scores will be compiled from the background and interview rating to determine the firm ranking. The managing Department Director (or designee) will review the ranking and establish a date for a final proposal. The Department Director or designee will negotiate the final proposal and submit the proposal for approval according to the Finance processes. If a satisfactory proposal cannot be obtained from the top-ranked firm, negotiations will cease and the second-ranked firm will be contacted for a proposal.

VII. CONTRACT DOCUMENT

A. Documents. The City's Standard Contract Document shall be used. The document may be modified during negotiations.

B. Cost of Services. The Cost of Services section of the contract will be broken down by phase as well as identifying classification of employee, rate per hour and estimated number of hours. The rate per hour shall include all overhead and profit.

Example: CADD Operator \$75.00 per hour 10 hours \$750.00

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